Australian Government
National Health and Medical Research Council

NHMRC

Research Grants Management System
User Guide – Grant Administration

Target Audience – Research Community

Version: 2.6 – 27 August 2015

WORKING TO BUILD A HEALTHY AUSTRALIA

Version Control

Version #	Date	Author	Details
0.1	05/11/2013	Benn Fleming	Drafted user guide
0.2	13/11/2013	Chris Webb	Edits and suggestions
1.0	24/11/2013	Benn Fleming	Applied feedback from review. Published major version for RAO Seminar November 2013.
1.1	10/01/2014	Benn Fleming	Minor formatting edits.
1.2	17/01/2014	Benn Fleming	Corrections to Administrative Review.
1.3	17/02/2014	Chris Webb	Addition of institutional compliance reporting.
1.4	20/05/2014	Jess Pratt Triet Le	Financial Report updates
1.5	05/08/2014	Tom Flannery	Data Exports content added
2.0	03/10/2014	Sophia Piccoli	Edits regarding RGMS v13 Update
2.1	09/01/2015	Sophia Piccoli	Update Main Menu screenshots
2.2	27/02/2015	Roger Sayers	Grammar, spelling, image standards and links applied.
2.3	05/03/2015	Roger Sayers	Update for RAO Cancelling Grant Variations
2.4	15/03/2015	Roger Sayers	New section – Final Report. Rename Scientific Reports
2.5	11/06/2015	Lynne Sell	Addition to Section 5.3 – dot point on Generated Documents
2.6	28/08/2015	Tom Flannery	Update for Cancelling Grant Variations (CIAs and RAOs)

Document Control

© Commonwealth of Australia 2014

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission from the Australian Government National Health and Medical Research Council (NHMRC). For any queries please contact the Research Grants Management System (RGMS) training team at rgmstraining@nhmrc.gov.au.

Continuous Improvement

NHMRC endeavours to provide the best training to the Australian medical and health research community through a continuous improvement practice. Your feedback and recommendations will be used to review and update the training materials in the future. Any feedback can be sent to the RGMS training team at rgmstraining@nhmrc.gov.au.

Contents

1. Introduction....4
1.1. Target Audience....4
1.2. What is the Research Grants Management System?....5
1.3. NHMRC Grants Lifecycle....5
1.4. RGMS Roles....6
1.5. RGMS Training....7
1.5.1. User Guides....7
2. Grant Administration....8
2.1. Viewing all grants....8
2.1.1. Filtering and sorting listed grants....10
2.2. Viewing the details of individual grants....11
2.2.1. Grantee Admin Tabs....11
2.2.2. Grantee Administration Properties Tab....11
2.2.3. Grant Summary Information Tab....13
2.2.4. Financial Summary Tab....14
2.2.5. Conditions and Milestones Tab....15
2.2.6. Variations Summary....16
2.2.7. The Processes Tab....16
3. RAO/Finance Officers Tab....17
3.1. RAO Dashboard....18
3.1.1. Accessing the RAO Dashboard....18
3.2. RAO Dashboard Tabs....19
3.2.1. Hints and Instructions Tab....19
3.2.2. The Application Progress & Application Summary Tabs....19
3.2.3. The Grants Summary Tab....20
3.2.4. The Documentation Tab....25
3.2.5. The CI Applications and Awards Tab....25
3.3. Institution Information....28
3.3.1. Accessing the Institution Information Page....28
3.4. Data Exports....30
3.4.1. File Data Content....33

3.4.2. Transferring Data Content to Excel and separating into columns 37
3.5. Institutional Annual Compliance Reporting 39
4. Financial Reporting 55
4.1. Financial Reporting Process 56
4.2. Financial Report Upload Template 58
4.3. Uploading Financial Reports 59
4.3.1. Financial Report Upload File – Data Requirements 62
4.3.2. Uploading a Financial Report 63
4.3.3. Upload Error Handling 69
4.4. Accessing Financial Reports 71
4.5. How to attach supporting documentation into a Financial Report 73
4.6. Cancelling a Financial Report 74
4.7. Rejected Financial Reports 76
4.8. Recertifying a Financial Report 77
4.8.1. Recertifying as the Finance Officer 78
4.8.2. Recertifying as the Chief Finance Officer 79
5. Final Report 81
5.1. Accessing the Final Reports Page 81
5.2. Creating a Final Report 83
5.3. Accessing a Final Report 87
5.4. Modifying a Final Report 87
5.5. CIA Certification and Submission of Final Reports 88
5.6. RAO Certification of Final Reports 89
6. Progress Reporting 90
6.1. Accessing the Progress Reports Page 90
7. Grant Variations 93
7.1. Accessing the Grant Variation Page 93
7.2. Creating a Grantee Variation 94
7.3. Types of Variations 97
7.4. Accessing a Grant Variation 98
7.5. Modifying a Variation 100
7.6. Certify and Submit a Variation 102
7.7. Cancelling a Variation 103
7.8. RAO Certification of Grant Variations 104
7.9. RAO Rejection of Grant Variations 107

1. Introduction

This is the fifth in a series of RGMS user guides for the research community. The focus of this guide is on completing post-award functions within RGMS. See the NHMRC website for a complete list of training resources.

NHMRC is acutely aware that your responsibility is to undertake research that improves the way of life for all Australians. As a result we have created these guides to support you during the grant application and administration process. Our intention is to provide this guidance in a clear, concise and logical structure, so you can efficiently submit information in RGMS while continuing your primary focus, your research.

Topics covered include:

- viewing grant details;
- using the RAO Dashboard;
- reporting; and
- grant variations.

IMPORTANT NOTE

This document should be read in conjunction with the Funding Rules, Advice and Instructions and Peer Review Guidelines specific to the scheme from which you have been awarded funding. It is expected that anyone referring to this guide is familiar with the content in the RGMS User Guide – Introduction to RGMS (Research Community).

1.1. Target Audience

The information presented in this guide is aimed at Research Administration Officers (RAOs), Finance Officers (FOs) and NHMRC grant recipients.

NOTE - for RAOs only

When sections of this guide are relevant to Research Administration Officers (RAOs) only, the topic is highlighted with an orange note prefacing the section.

NOTE - for FOs only

When sections of this guide are relevant to Finance Officers (FOs) only, the topic is highlighted with a green note prefacing the section.

1.2. What is the Research Grants Management System?

RGMS is a Programme and Portfolio Management (PPM) system that enables you to apply for, track and administer NHMRC grants online, as well as participate in peer review.

Researchers can also maintain a Profile and Curriculum Vitae, which is used for application and other administrative purposes.

1.3. NHMRC Grants Lifecycle

The NHMRC grant lifecycle consists of four broad phases (see Figure 1).

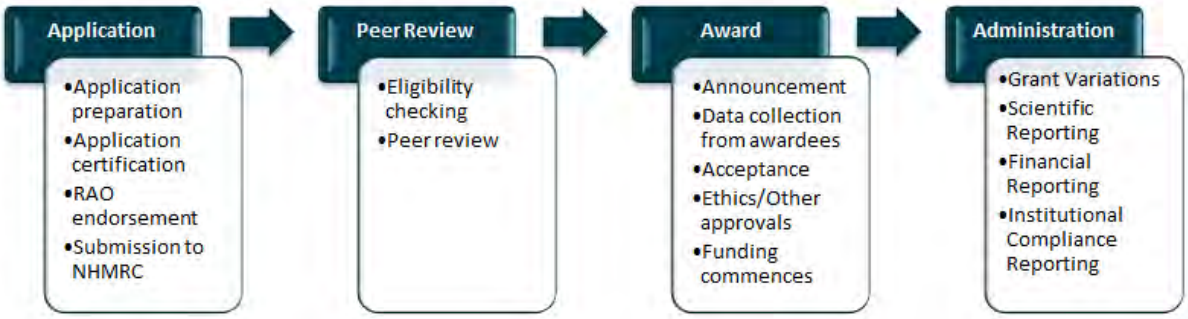


Figure 1 - NHMRC Grant Lifecycle

IMPORTANT NOTE

While this diagram summarises the typical steps in the process, the unique requirements of each NHMRC funding scheme may introduce additional or fewer steps. Always refer to the scheme-specific Funding Rules for further information and clarification.

1.4. RGMS Roles

Members of the research community play a number of different roles in the granting cycle. Typical roles are illustrated below.

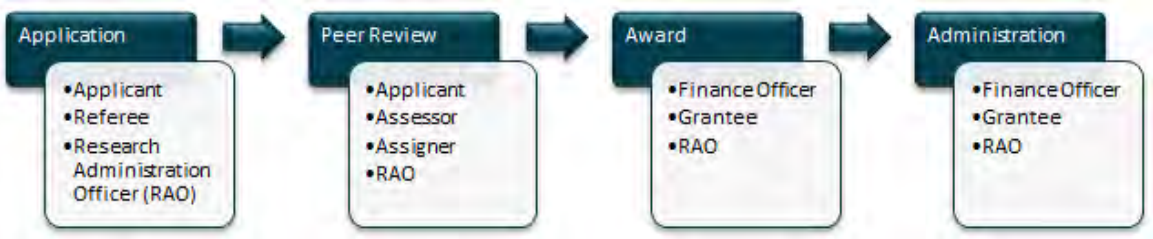


Figure 2 – RGMS Roles by Phase

1.5. RGMS Training

The RGMS Training Programme is structured around the four phases of the NHMRC grant lifecycle (see Figure 1). The training programme illustrated in Figure 3 aims to provide the skills and knowledge needed to perform common tasks.

Target audiences for the programme include:

- Applicants
- Assigners
- Assessors
- Grantees
- Research Administration Officers
- Finance Officers

All training material can be accessed from the RGMS Training Programme web page.

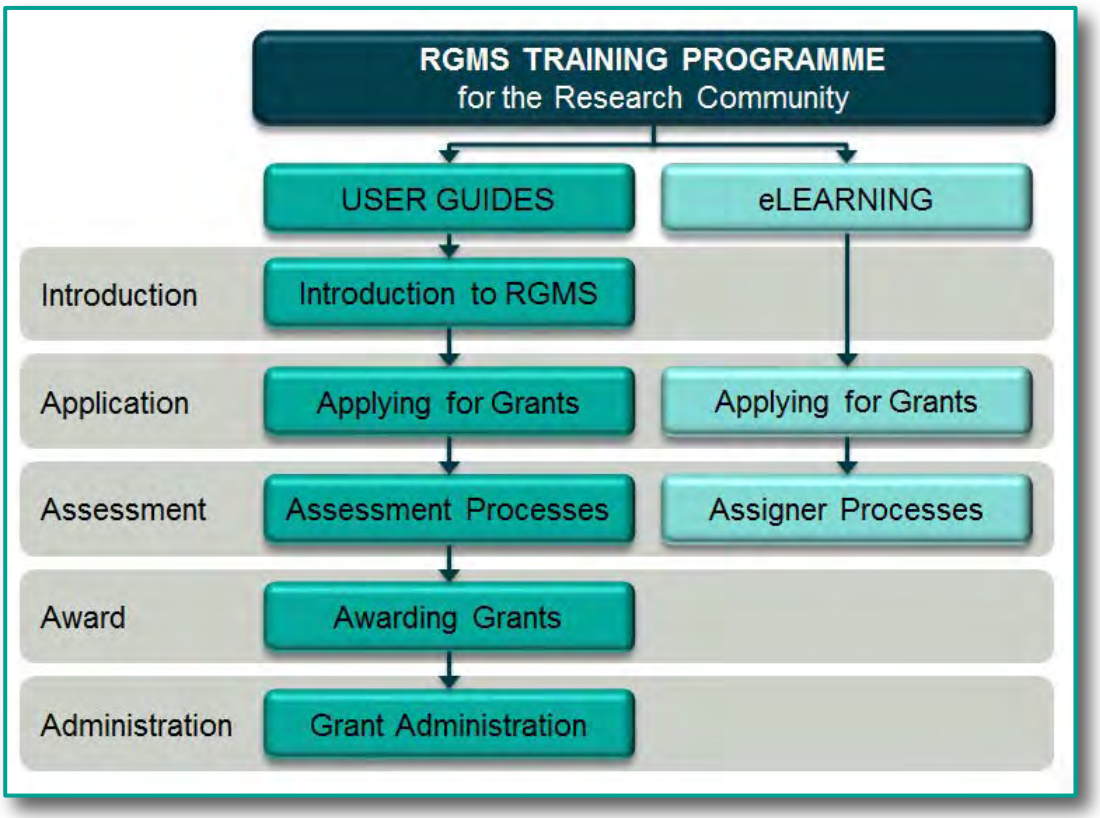


Figure 3 – RGMS Training Program for the research community

1.5.1. User Guides

User guides are available as a written source of information about RGMS functionality. They provide a detailed reference to RGMS information and processes.

2. Grant Administration

This section outlines the functions available to Grantees (Chief Investigators) for retrieving information about funded grants, including their Status, Milestones and Conditions in RGMS. Specific topics covered include:

- Viewing grant details;
- Filtering and sorting grant lists;
- Grantee Administration tab;
- Properties Tab with Grant Administration;
- Grant Summary Information tab;
- Financial Summary tab;
- Conditions and Milestones tab;
- Variations Summary; and
- The Process tab.

2.1. Viewing all grants

These instructions expect that you are familiar with the RGMS User Guide – Introduction to RGMS (Research Community), and that you know how to logon to RGMS.

1. Navigate to the **RGMS home** page.
2. Select the **Grantees** tab.
3. Select the **View an existing grant** quicklink.

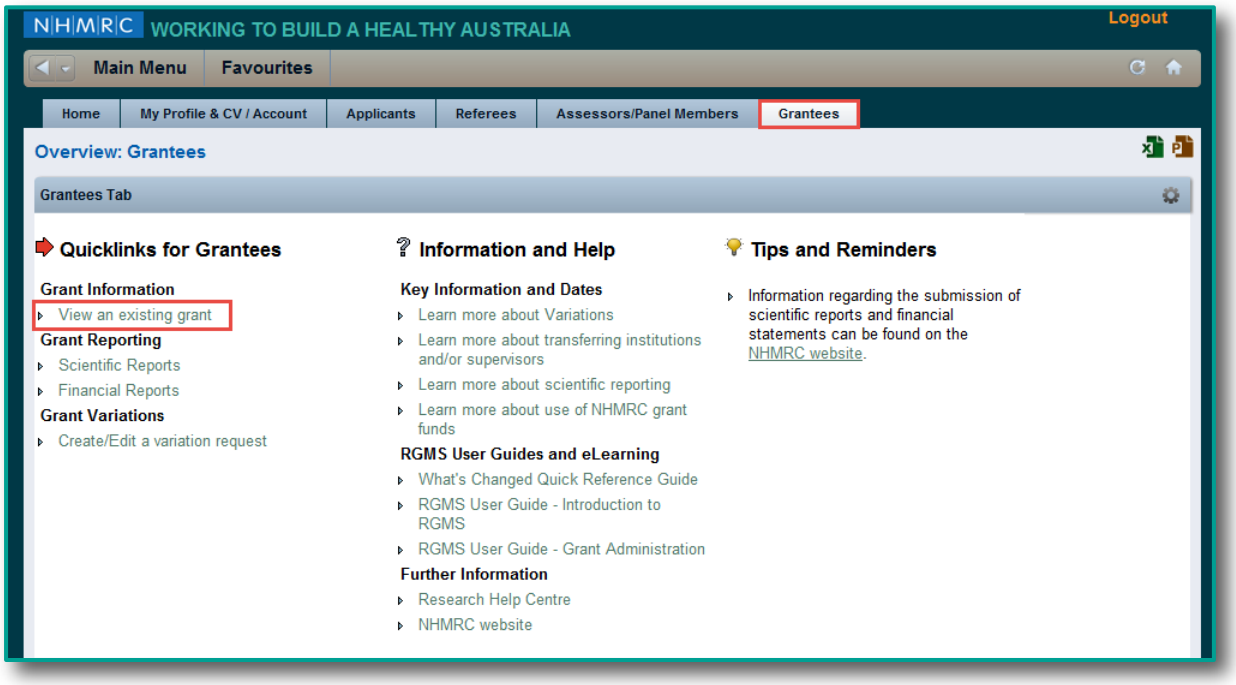


Figure 4 – Accessing the Grantees Tab

A list of your currently funded grants will be displayed.

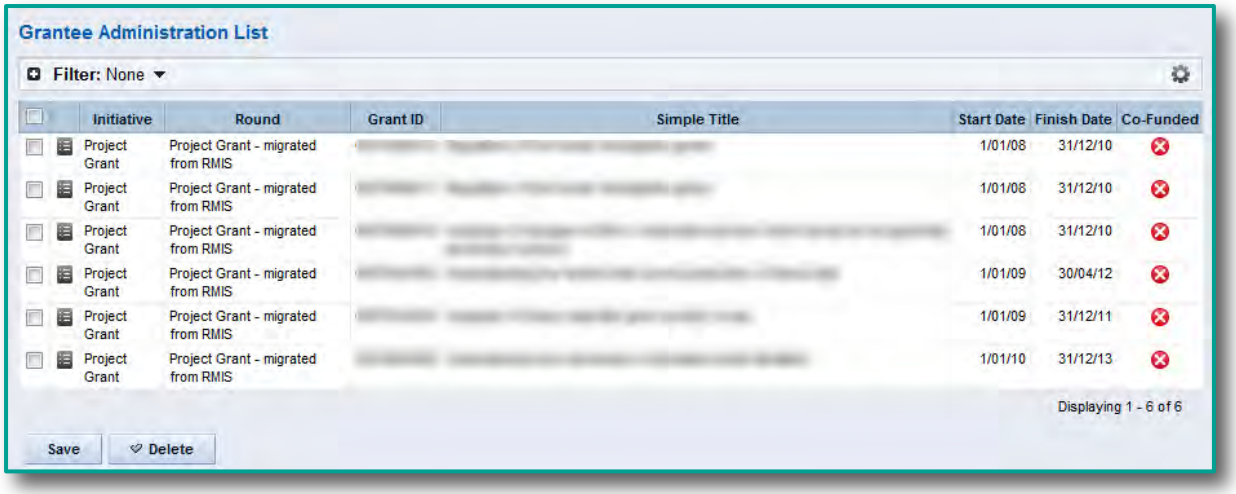


Figure 5 – Grantees Administration List Page

You can access subcategories by selecting the **plus** symbol ⊞ to expand the selection. You can close the selection at any time by selecting the **minus** symbol⊟.

IMPORTANT NOTE

You can export data from many of the pages within the RAO Dashboard using the Export icons and Options dropdown menu, which appear at the top right of all RAO Dashboard tabs, and on certain other pages throughout the RGMS.

For further information refer to sections 3.10 Export Options and 3.11 The Options menu in the RGMS User Guide – Introduction to RGMS (Research Community) RGMS User Guide – Introduction to RGMS.

2.1.1. Filtering and sorting listed grants

You can modify which grants are displayed in this view by using search Filters at the top of the page. Your list of grants can be filtered by **Initiative**, **Round**, **Grant ID**, **Simple Title**, **Scheme** or **Application Year**.

Additionally, you can sort by clicking on the column headings. For example, you would select **Grant ID** Grant ID to sort the list by that column in ascending or descending order.

For further information on how to apply, clear, save and manage filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

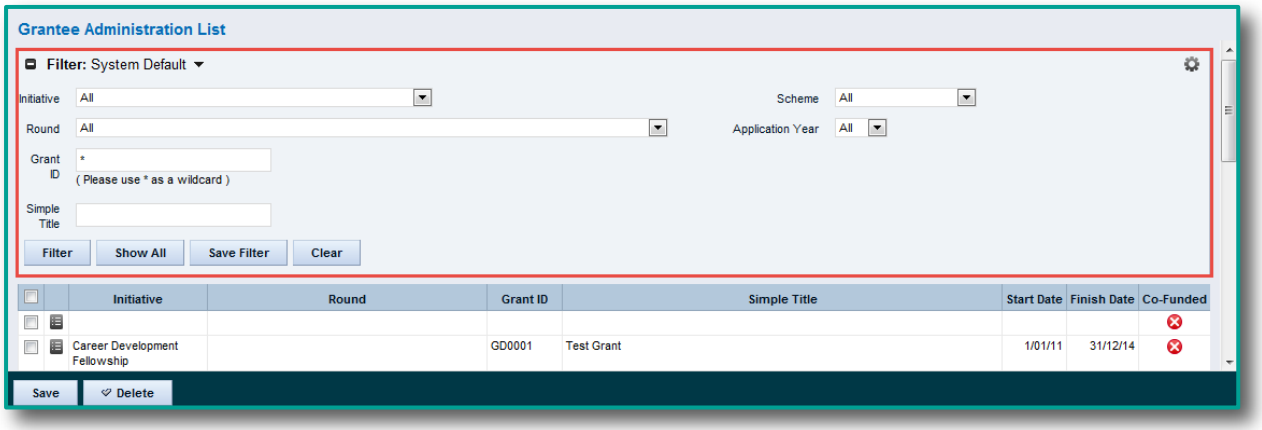


Figure 6 – Grantees Administration Filter

2.2. Viewing the details of individual grants

Once you have accessed the list of grants, the next step you need to take is opening the relevant grant.

1. Navigate to the **Grantee Admin List** page as outlined in section **2.1 Viewing all grants** above.
2. Select the **Properties** icon to open the relevant grant.

2.2.1. Grantee Admin Tabs

Grant details are provided through a series of tabs:

- Properties;
- Grant Summary Information;
- Financial Summary;
- Conditions and Milestones;
- Variations Summary; and
- Processes.

The content of each tab is outlined below.

2.2.2. Grantee Administration Properties Tab

The **Properties** tab details general information about the grant, including:

- initiative name and round;
- grant title and ID;
- funding dates; and
- grant summary.

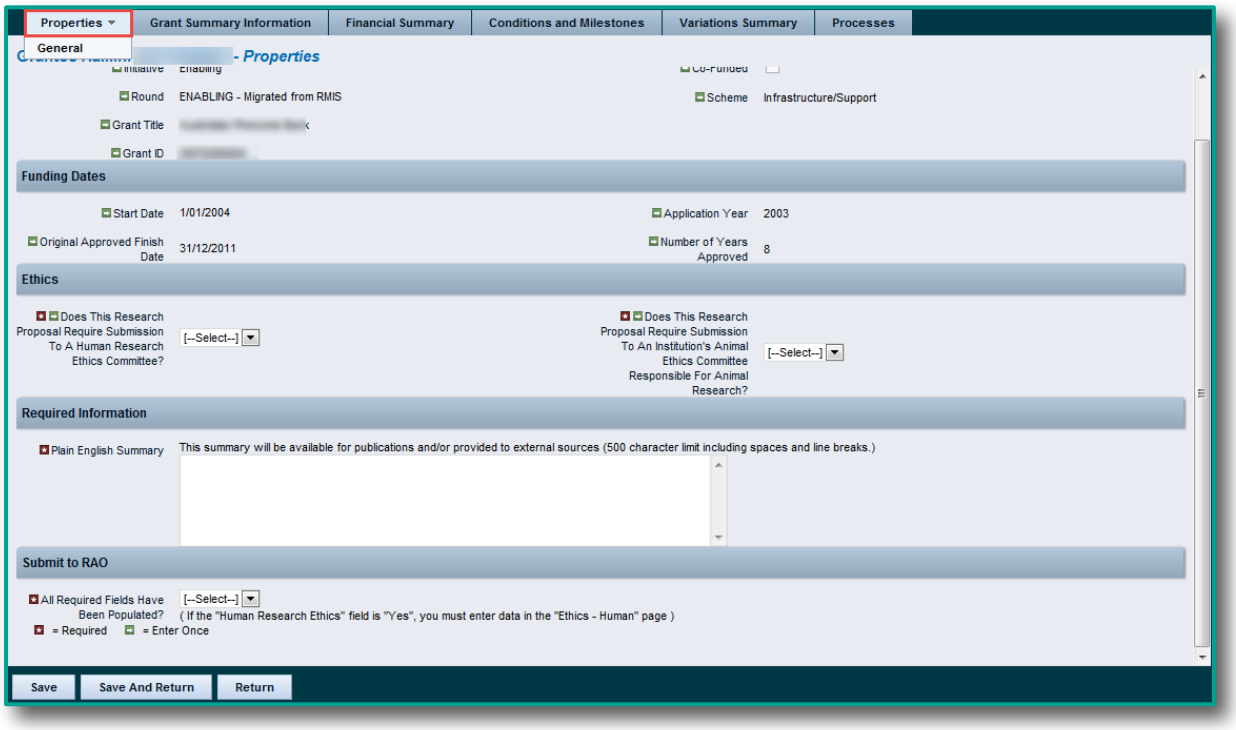


Figure 7 – Grantee Administration Properties Page

2.2.3. Grant Summary Information Tab

The **Grant Summary Information** page consists of three tables:

- **Grant Information** – This table displays the grant's ID number, scientific and simple titles, application year, number of years of approved funding, the grant's current funding period and the amount of approved funding.
- **Grant Institution History** – This table lists all Administrative and Actual Institutions listed against the grant for the duration of its approved funding period. This table is updated if a Transfer Administrative Institution Grantee Variation is approved by the NHMRC.
- **Grant Team** – This table lists all team members (CI and Non-CI) against the grant. This table displays each team member's name, type and role, salary level, start and end date on the grant and percentage of time allocated to the Grant. This table is updated if an associated grantee variation is approved by the NHMRC.

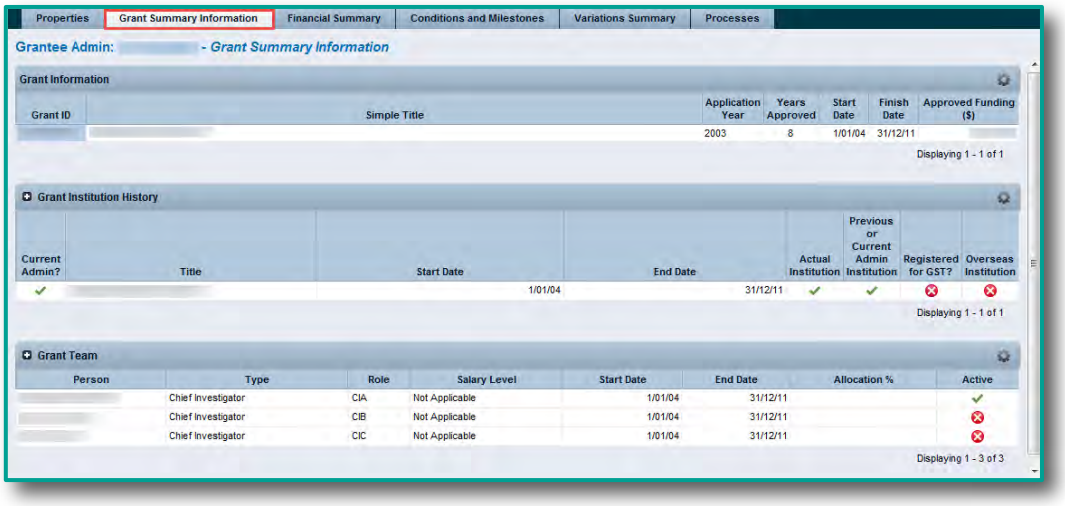


Figure 8 – Grant Summary Information Page

2.2.4. Financial Summary Tab

The **Financial Summary** page consists of two tables:

- **Grant Budget** – This table displays the budget categorised into a yearly figure for each individual component of the awarded budget, for example: salary or Direct Research Costs. This table can be filtered by either year or component type.
- **Grant Payments** – This table displays the budget for the grant categorised into its yearly payment schedule. This table shows each component of the grant's budget, including the type, amount, due date, status, GST and payment details. This table can be filtered by payment type, status and date due.

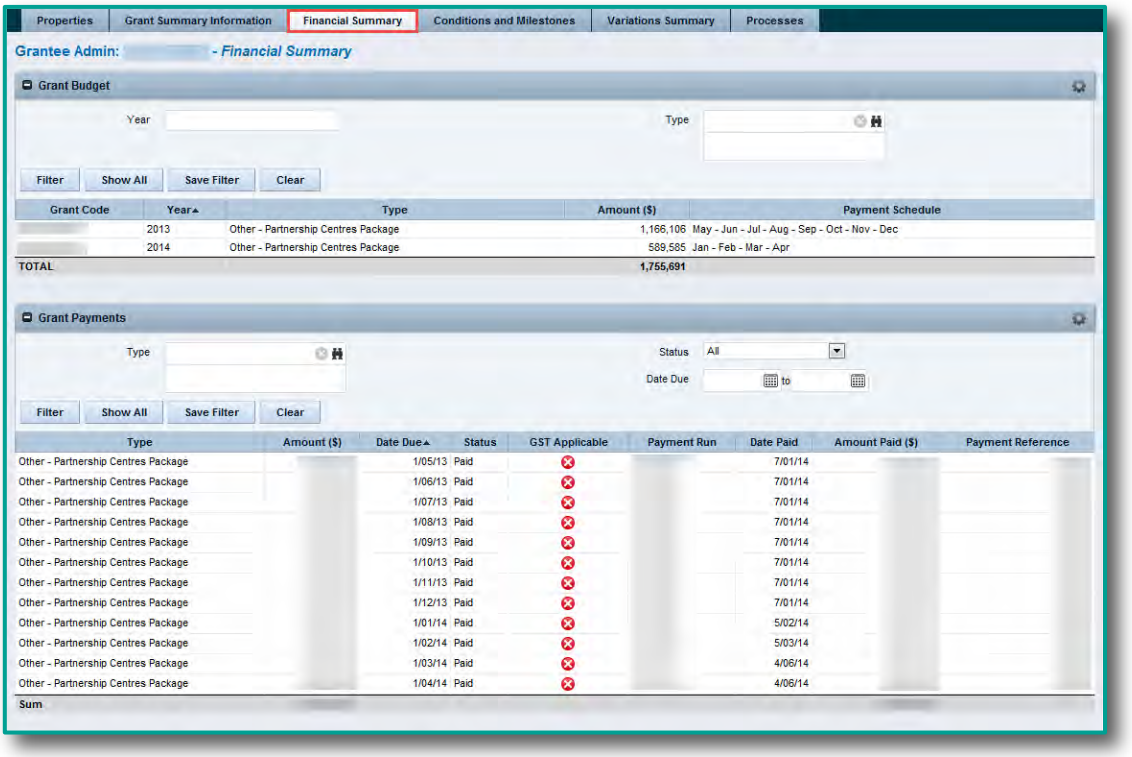


Figure 9 – Grantee Administration Financial Summary Page

2.2.5. Conditions and Milestones Tab

The **Conditions and Milestones** page consists of two tables:

- **Grant Conditions** – This table displays all funding conditions imposed on the grant. This table displays a description of the condition (i.e. ethics clearance, revised schedule, etc.), the date the condition is due, as well as the date the condition was met. This table can be filtered by the due date and the days until due.
- **Grant Milestones** – This table displays all milestone and reporting requirements for the grant. This table displays the report type (i.e. annual financial statement, scientific progress report, etc.), the date the milestone is due as well as the date the milestone was met. This table can be filtered by the due date and the days until due.

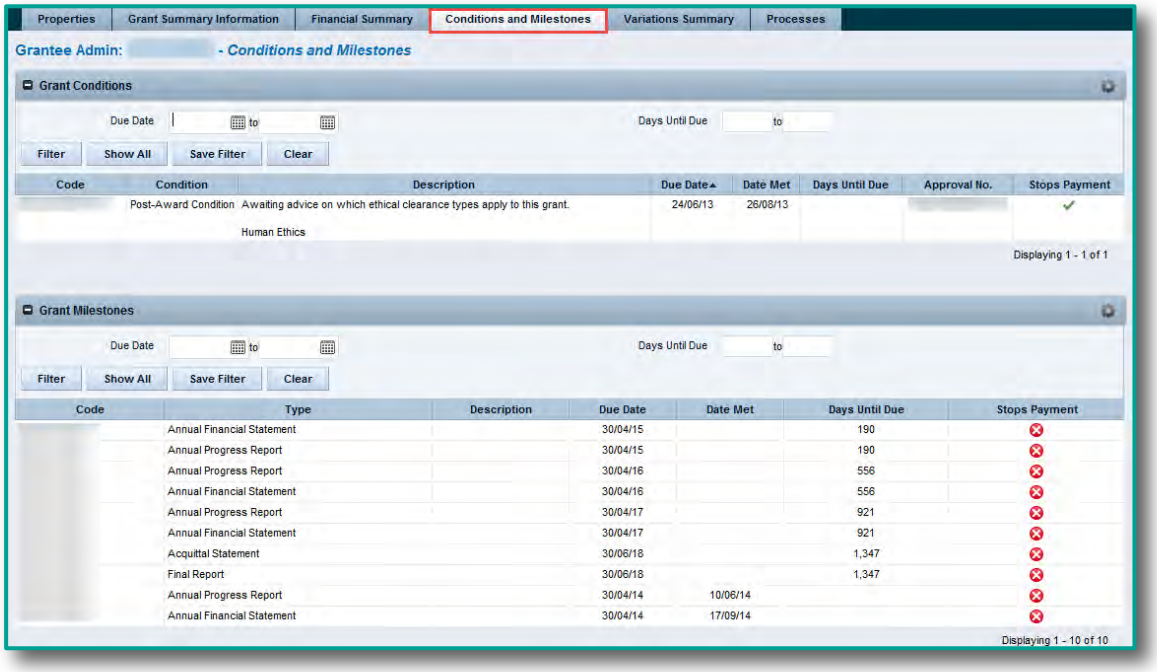


Figure 10 – Grantee Administration Conditions and Milestones Page

2.2.6. Variations Summary

The **Variations Summary** page consists of a table which displays all created grantee variation requests associated with the grant. This table includes the grant's title, the type of variation created, current status, variation code, budget, name of the variation, and progress indicators. The table also includes a hyperlink in the Verification Code column to access the variation request.

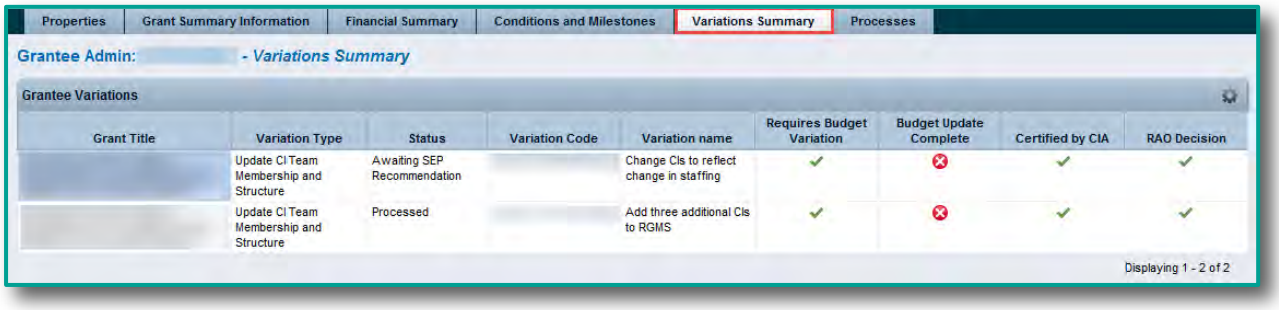


Figure 11 – Grantee Administration Variations Summary

2.2.7. The Processes Tab

The **Processes Tab** is irrelevant to RGMS research community users and should be disregarded.

3. RAO/Finance Officers Tab

RAO

IMPORTANT NOTE

The information covered in this section is for Research Administration Officers' (RAOs) and Finance Officers' (FOs) reference only. Grantees, Chief Investigators or CIAs, do not have access to the RAO Dashboard.

A range of grant administration functions can be accessed through the **RAO/Finance Officers** tab.

These include:

- the RAO Dashboard;
- maintaining institution information;
- scientific reporting;
- financial reporting; and
- submitting variation requests.

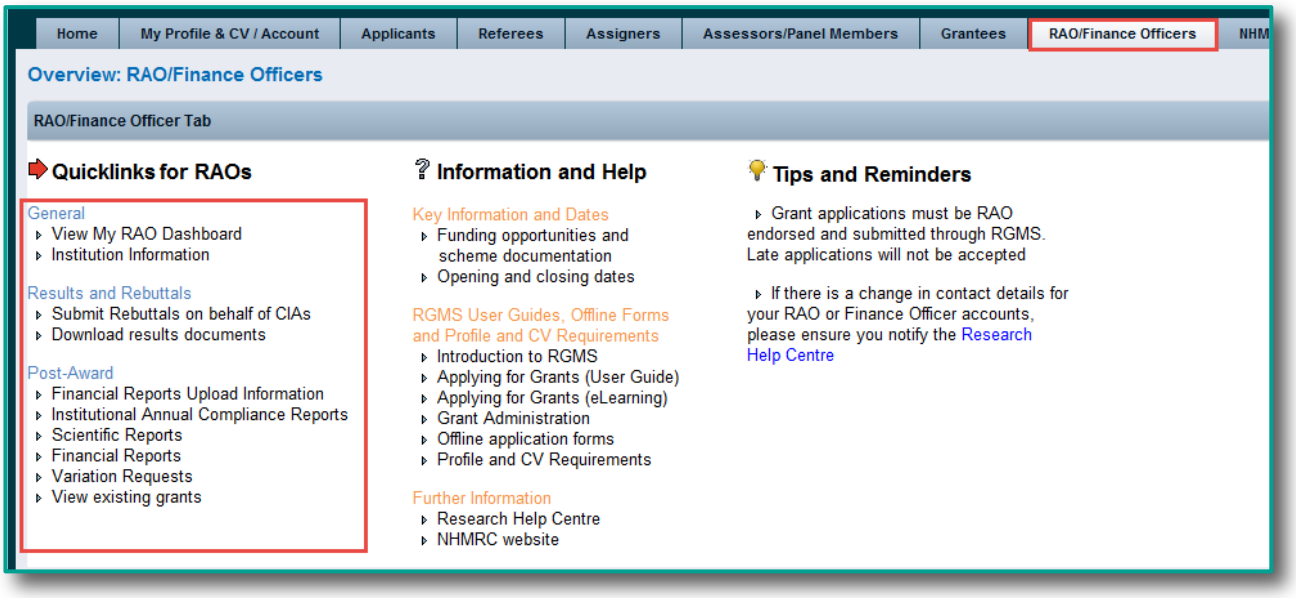


Figure 12 – RAO/Finance Officers Page

Further detail about each of these functions is provided on the following pages.

3.1. RAO Dashboard

The RAO Dashboard brings together the key functions used by RAOs to administer grants. These include:

- monitoring the progress of all applications from your institution;
- viewing their current status in RGMS; and
- retrieving data on grant payments, milestones and conditions.

3.1.1. Accessing the RAO Dashboard

To access the RAO Dashboard:

1. From the RGMS Home page navigate to the RAO/Finance Officers tab.
2. Select the View My RAO Dashboard quicklink.

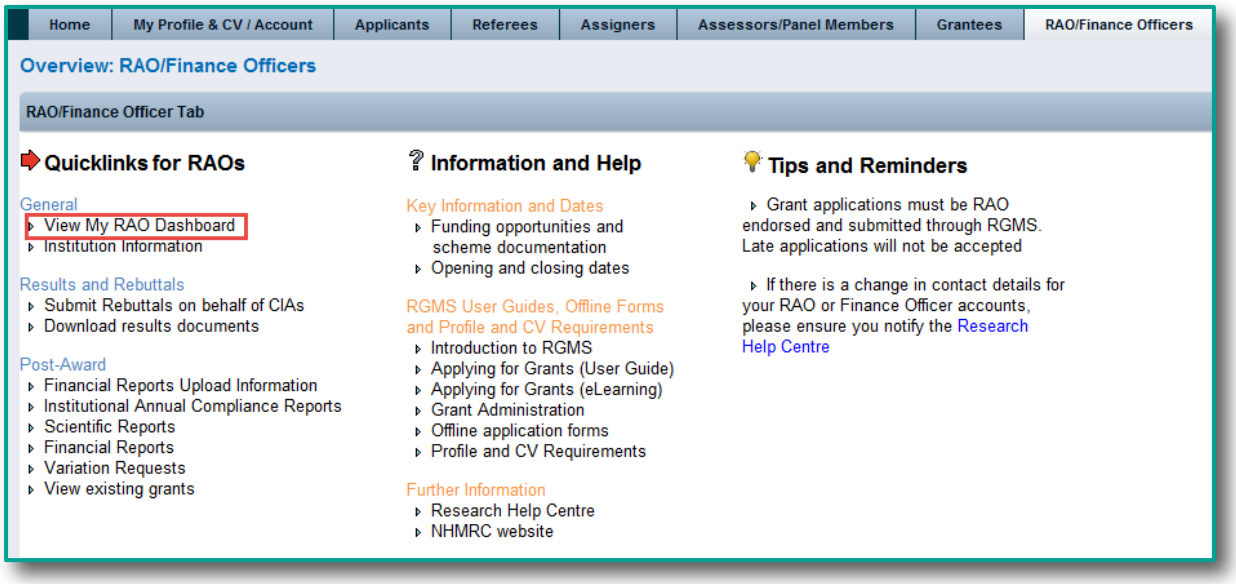


Figure 13 – RAO/Finance Officers Tab

IMPORTANT NOTE

You can export data from many of the pages within the RAO Dashboard using the Export icons and Options dropdown menu, which appear at the top right of all RAO Dashboard tabs, and on certain other pages throughout RGMS.

For further information refer to sections **3.10 Export Options** and **3.11 The Options** menu in the RGMS User Guide – Introduction to RGMS (Research Community).

3.2. RAO Dashboard Tabs

The different functions within the dashboard are accessed through the tabs at the top of the page. These tabs include:

- Hints and Instructions;
- Application Process;
- Application Summary;
- Assessment Summary;
- Grants Summary;
- Documentation; and
- CI Applications and Awards.

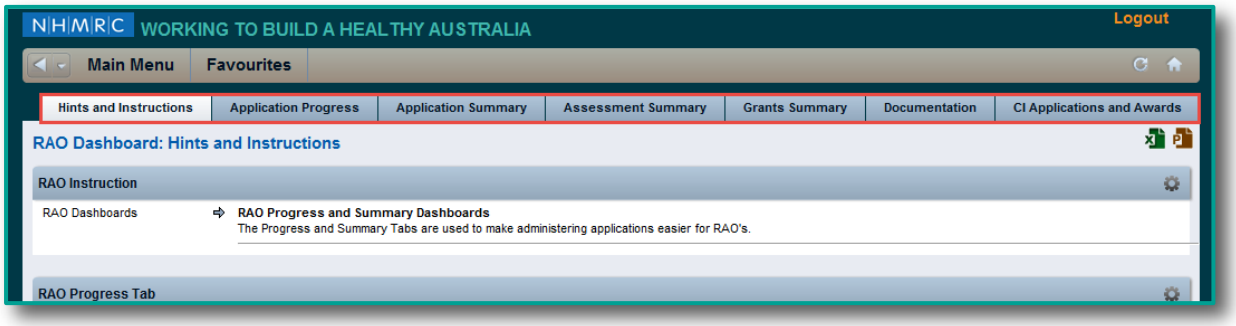


Figure 14 – RAO Dashboard

3.2.1. Hints and Instructions Tab

The **Hints and Instructions** page is the first page displayed when you access the RAO Dashboard. This page contains brief definitions of the application status. These definitions are used throughout the RAO Dashboard, as well as elsewhere in RGMS.

3.2.2. The Application Progress & Application Summary Tabs

Further details about the Application Progress and Application Summary tabs can be found in Sections 2.5.1 and 2.5.2 in the RGMS User Guide - Applying for Grants (Research Community).

3.2.3. The Grants Summary Tab

This tab is divided into three subsections:

1. RAO Grants Payments
2. RAO Grant Milestones
3. RAO Grant Conditions

To view the subsections, scroll down the page or alternatively, select the relevant hyperlink above.

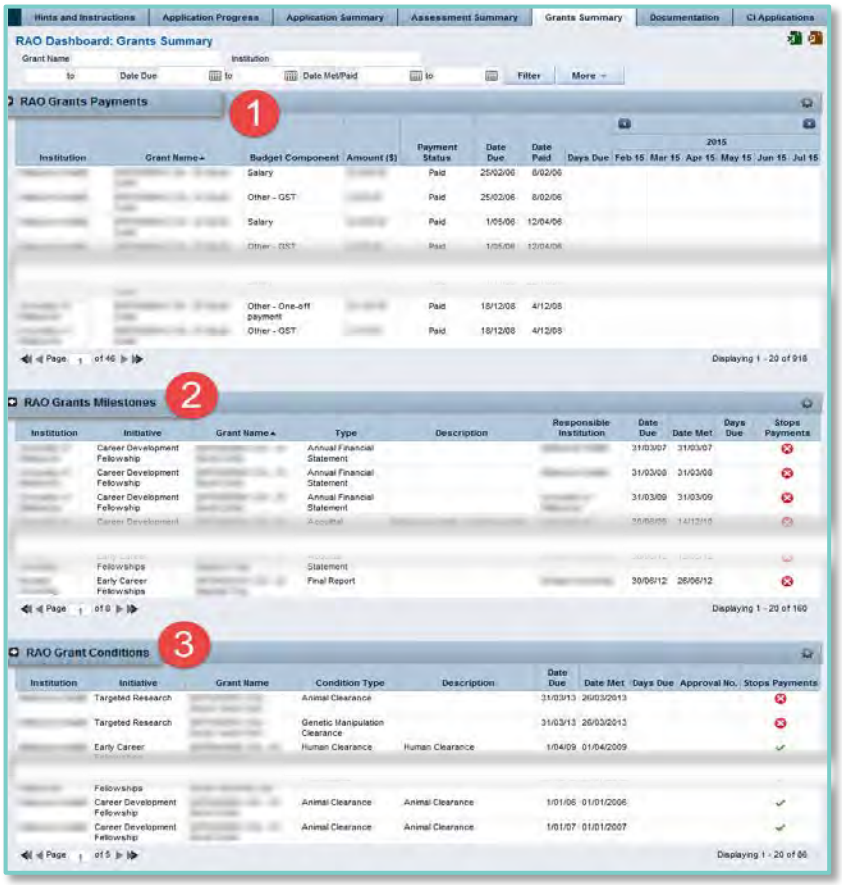


Figure 15 – Grants Summary Page

3.2.3.1. Grants Payments Subsection

The **RAO Grants Payments** subsection is designed to display payment information for all grants you have access to. You are able to filter the results by the following criteria:

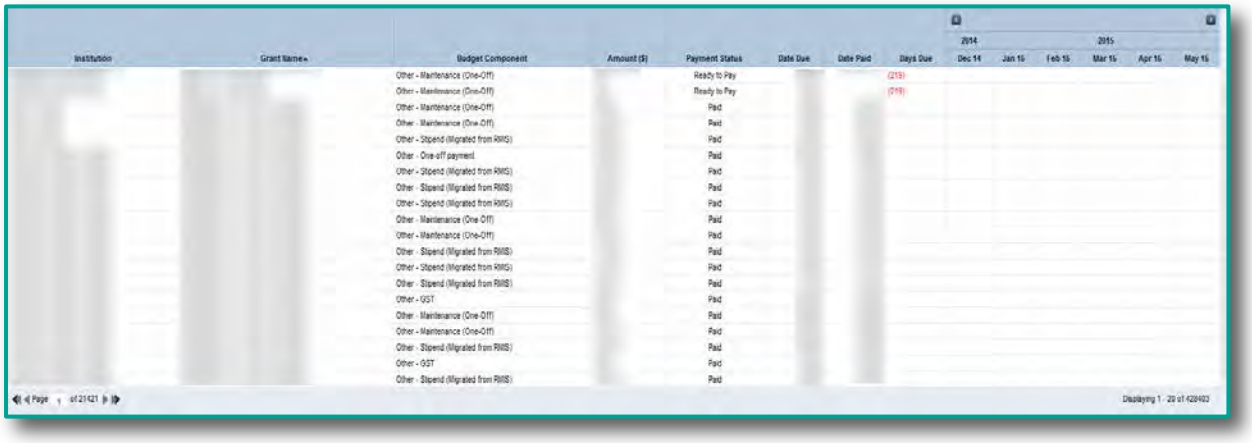
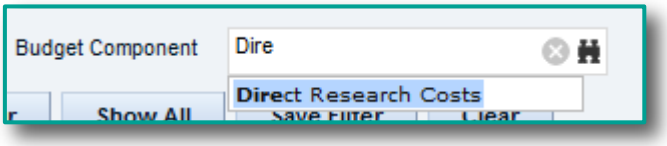


Figure 16 – Grants Summary – RAO Grants Payments Subsection

- **Grant Name** – Enter the grant number or the CIACIA's name to return data on a specific grant.
- **Institution** – This filter is not relevant to the research community, as they typically have only one institution of responsibility. (relevant to NHMRC staff only)
- **Budget Component** – Use the auto-lookup function by typing the name of the budget component directly into the field and select form options provided in dropdown list.



Or use the lookup field by selecting the binoculars icon to filter for any one of forty budget components.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

- **Payment Status** – Use the dropdown ▾ field menu to select one of five Payment Status categories.

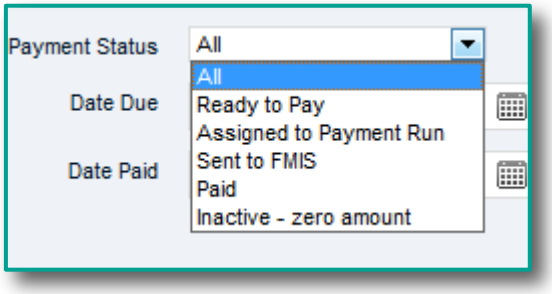


Figure 17 – RAO Grants Payments - Payment Status Filter

- **Date Due** – From the calendar , enter a range of dates on which the selection in the Payment Status field is due to occur.
- **Date Paid** – From the calendar , enter a range of dates on which the selection in the Payment Status field occurred.

3.2.3.2. Grant Conditions Subsection

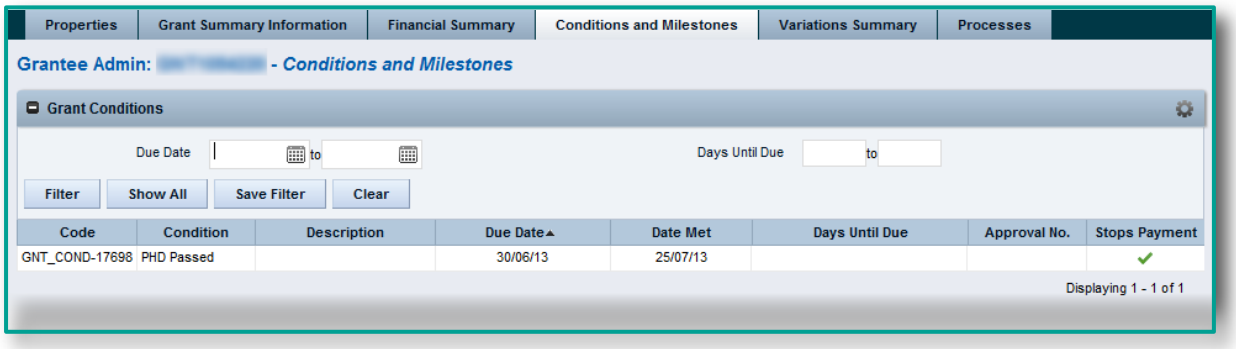


Figure 18 – RAO Grant Conditions Page

The **RAO Grant Conditions** subsection, within the Conditions and Milestones tab, allows RAOs to see what conditions apply to a grant, how they are described, by what date these conditions must be met and whether or not these conditions can cause payments to be suspended. The following filters are available to narrow your search:

- **Grant Name** – Enter the grant number or the Chief Investigator A's (CIA) name to return data on a specific grant.

- **Institution** – You are able to filter the results by institution. Since the RGMS users in the research community only have access to one institution, this is typically only used by NHMRC staff.
- **Type** – Use the dropdown ▾ field menu to filter for any one of fourteen condition types.

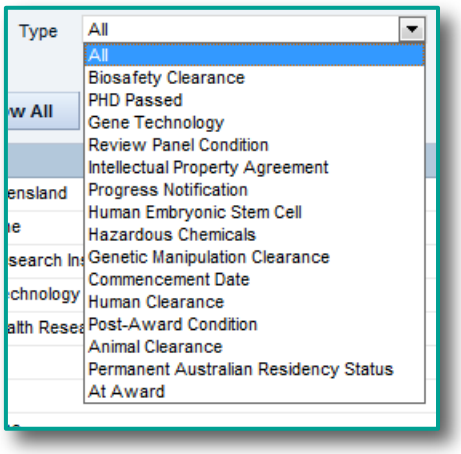


Figure 19 – Type Dropdown Field Menu Example

- **Initiative** – The dropdown ▾ field menu enables you to select one of the available funding initiatives.

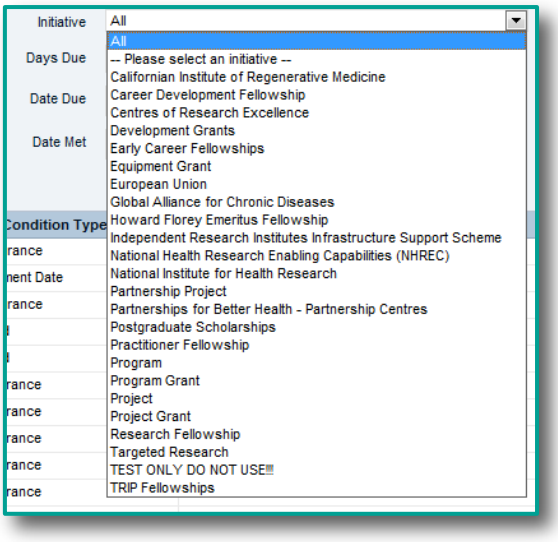


Figure 20 – Initiative Dropdown Field Menu Example

- **Days Due** – Enter the number of days until a Milestone is due.
- **Date Due** – From the calendar, enter a range of dates on which the selection in the Payment Type field is due to occur.
- **Date Met** – From the calendar, enter a range of dates on which the selection in the Payment Type field was met.

IMPORTANT NOTE

A grant condition which has a green tick ✔ in the **Stops Payments** column will prevent payments against the grant if the condition is not met. A red cross ✘ indicates that the condition will not prevent payments if not met.

3.2.3.3. Grant Milestones Subsection

The **RAO Grant Milestones** subsection, within the Conditions and Milestones tab, displays all the Milestones associated with a grant. It gives the RAO the ability to see which Milestones are approaching, which Milestones have not been met, when deadlines occur and whether or not these Milestones can cause payments to be suspended.

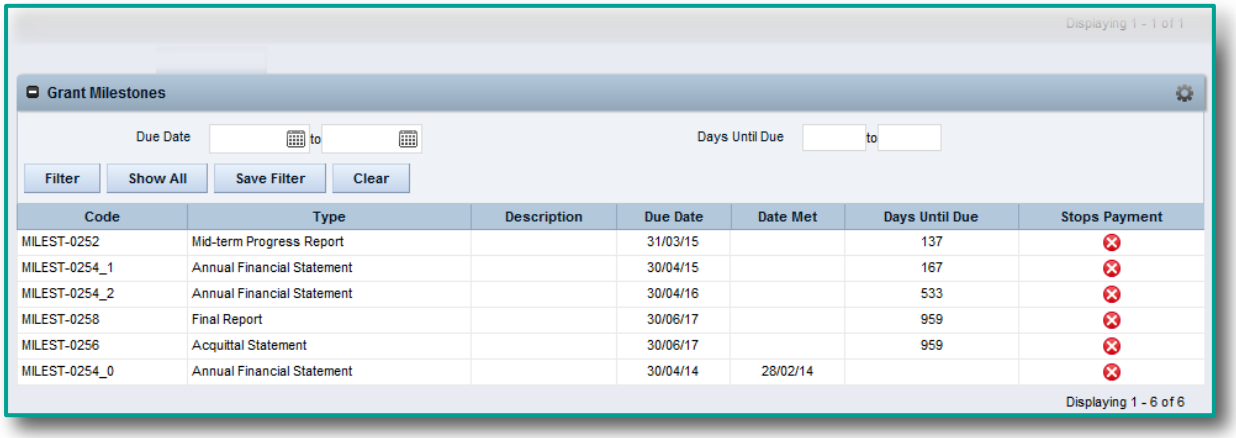


Figure 21 – Grants Summary – RAO Grant Milestones Subsection

You are able to filter the results by the following criteria:

- **Grant Name** – Enter the grant number or the CIA's name to return data on a specific grant.
- **Institution** – Enter the name of the Administering Institution. The 'Responsible Institution' column refers to the institution responsible for providing the Milestone.
- **Type** – Use the dropdown field menu to filter for any one of six Milestone types.
- **Initiative** – Use the dropdown field menu to select one of the available funding initiatives.
- **Days Due** – Enter the number of days until a Milestone is due.
- **Dates Due** – From the calendar , enter a range of dates on which the Milestone listed in the 'Type' column is due.
- **Date Met** – From the calendar , enter a range of dates on which the Milestone listed in the 'Type' column was met.

IMPORTANT NOTE

A grant condition which has a green tick ✔ in the **Stops Payments** column will prevent payments against the grant if the condition is not met. A red cross ✘ indicates that the condition will not prevent payments if not met.

3.2.4. The Documentation Tab

The **Documentation** tab is not utilised and can be disregarded.

3.2.5. The CI Applications and Awards Tab

The **CI Applications and Awards** tab assists the RAO with determining Chief Investigator (CI) eligibility on grant applications and is divided into two subsections;

1. Applications and Awards – By Researcher
2. CI Applications and Awards – By Application

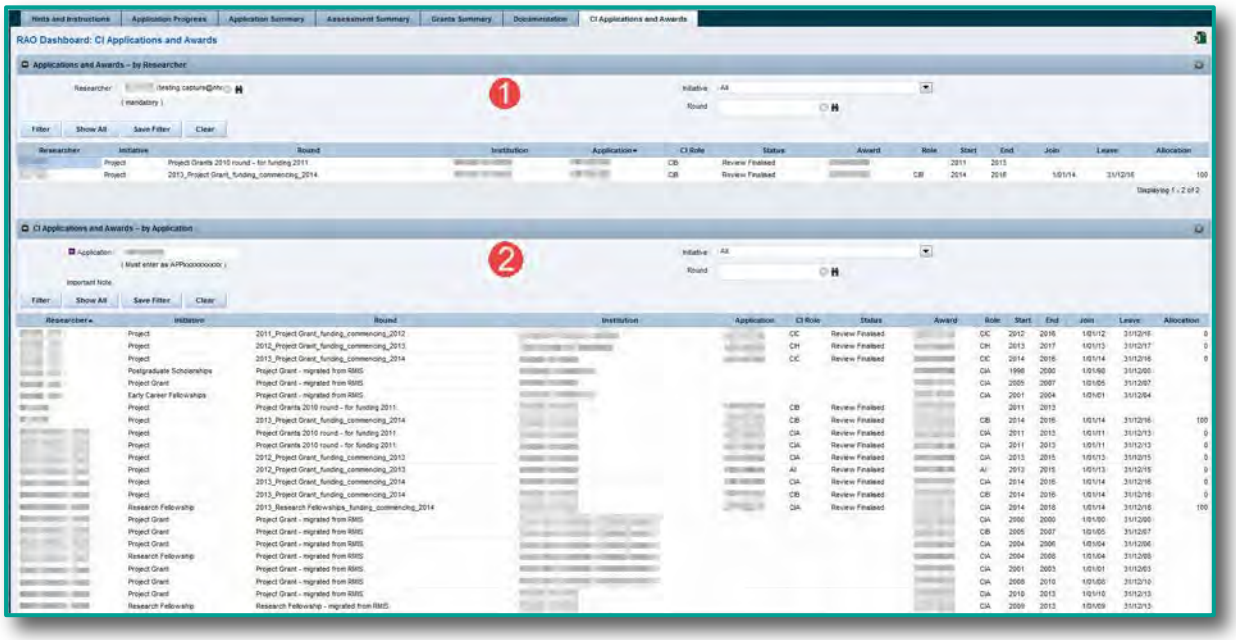

RAO Dashboard: CI Applications and Awards
Applications and Awards – by Researcher
CI Applications and Awards – by Application
1
2

Figure 22 – CI Applications and Awards Tab

When determining eligibility, take particular note of:

- **Initiative** – This search returns every application on which the researcher is a named investigator. If you are gathering information for eligibility, some of these applications may not count. Consult the appropriate funding rules to verify which scheme application should be considered toward eligibility totals.
- **CI Role** – The researcher's role on the application. If the field is blank, the researcher is listed in a Non-CI role on the application (e.g. – Associate Investigator).
- **Leave** – The date upon which the researcher will leave or has left the role listed on the grant.

IMPORTANT NOTE

Grant details displayed in this tab, do not reflect pending variation requests (e.g. Extend Grant Duration, Update CI Team Membership and Structure) and are subject to change. RAOs should accordingly confirm any planned/pending variation requests with CIs before relying on this data.

3.2.5.1. Applications and Awards – By Researcher

The **Applications and Awards – By Researcher** section within the CI Applications and Awards Tab, allows RAOs to view a researcher's entire RGMS application and grant history in order to assist determining CI eligibility on grant applications.

You are able to filter the list by the following fields:

- **Researcher** – Use the auto lookup field by typing the researcher's surname directly into the field, or alternatively by selecting the binoculars icon in the **Researcher** field to select the researcher's name.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

- **Initiative** – The **Initiative** dropdown field menu is used to limit results to a particular initiative.

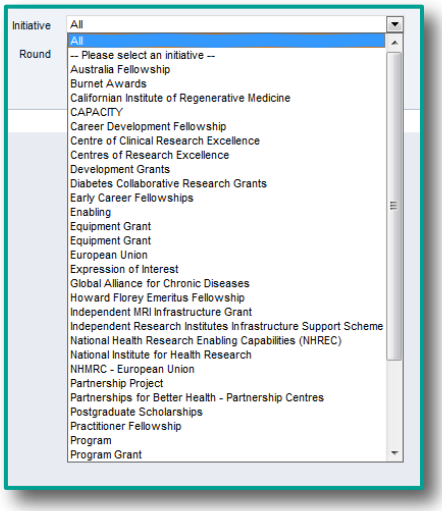


Figure 23 – CI Applications – Initiative Filter

- **Round –** Use the auto lookup field by typing key words of the round title directly into the field, or alternatively by selecting the binoculars icon for the **Round** field to limit results to a particular round.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

3.2.5.2. *CI Applications and Awards – By Application*

The **CI Applications and Awards – By Researcher** section within the CI Applications and Awards Tab, allows RAOs to view the RGMS application and grant history for all CIs on a particular application in order to assist determining CI eligibility on grant applications.

You are able to filter the list by the following fields:

- **Application ID** – Use the free text field to enter the application ID you wish to view. Please note you are not able to use the *wildcard (*)* symbol when using this field, you need to enter the entire application ID e.g. **APP1234567**
- **Initiative** – The **Initiative** dropdown field menu is used to limit results to a particular initiative
- **Round –** Use the auto lookup field by typing key words of the round title directly into the field, or alternatively by selecting the binoculars icon for the **Round** field to limit results to a particular round.

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

3.3. Institution Information

The **Institution Information** quicklink provides access to a range of information and reports related to, or used by, Administering Institutions.

3.3.1. Accessing the Institution Information Page

To begin, access the **Institution Information** page. The instructions below outline how to navigate to the page.

1. From the RGMS Home page select the **RAO/Finance Officer** tab.
2. Select the **Institution Information** quicklink.

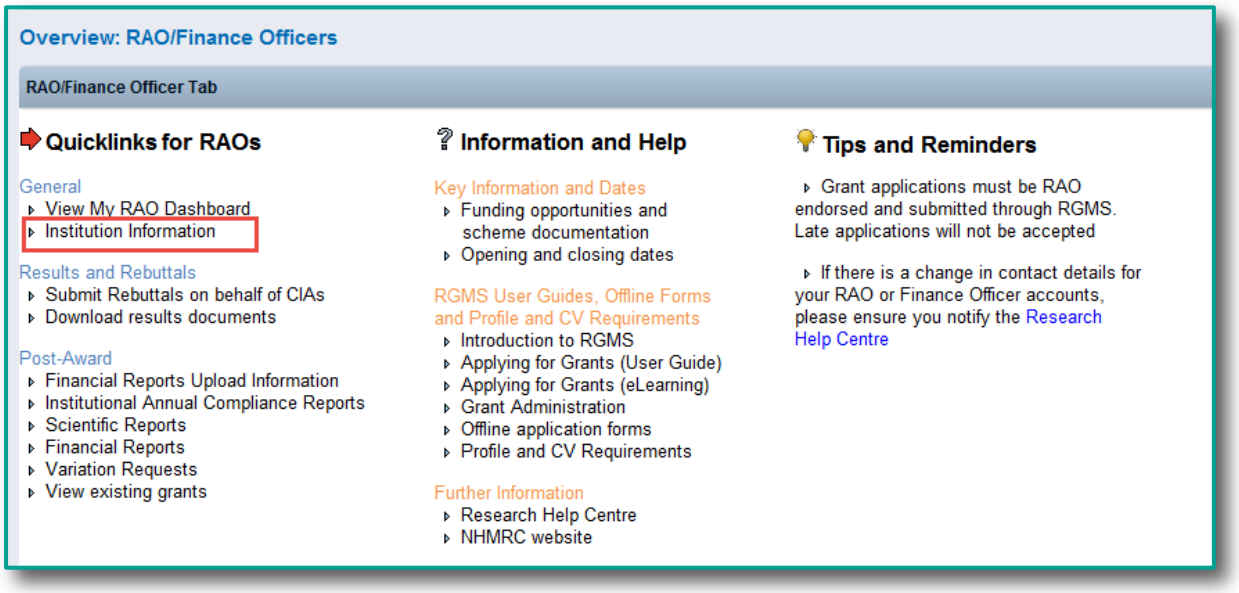

Overview: RAO/Finance Officers
RAO/Finance Officer Tab
Quicklinks for RAOs
General
View My RAO Dashboard
Institution Information
Results and Rebuttals
Submit Rebuttals on behalf of CIAs
Download results documents
Post-Award
Financial Reports Upload Information
Institutional Annual Compliance Reports
Scientific Reports
Financial Reports
Variation Requests
View existing grants
Information and Help
Key Information and Dates
Funding opportunities and scheme documentation
Opening and closing dates
RGMS User Guides, Offline Forms and Profile and CV Requirements
Introduction to RGMS
Applying for Grants (User Guide)
Applying for Grants (eLearning)
Grant Administration
Offline application forms
Profile and CV Requirements
Further Information
Research Help Centre
NHMRC website
Tips and Reminders
Grant applications must be RAO endorsed and submitted through RGMS. Late applications will not be accepted
If there is a change in contact details for your RAO or Finance Officer accounts, please ensure you notify the Research Help Centre

Figure 24 – Accessing the Institutional Information Page

3. Access your institution's details by selecting the institution name hyperlink in the **Institution** column. You can use the filters at the top of the page to search if necessary.

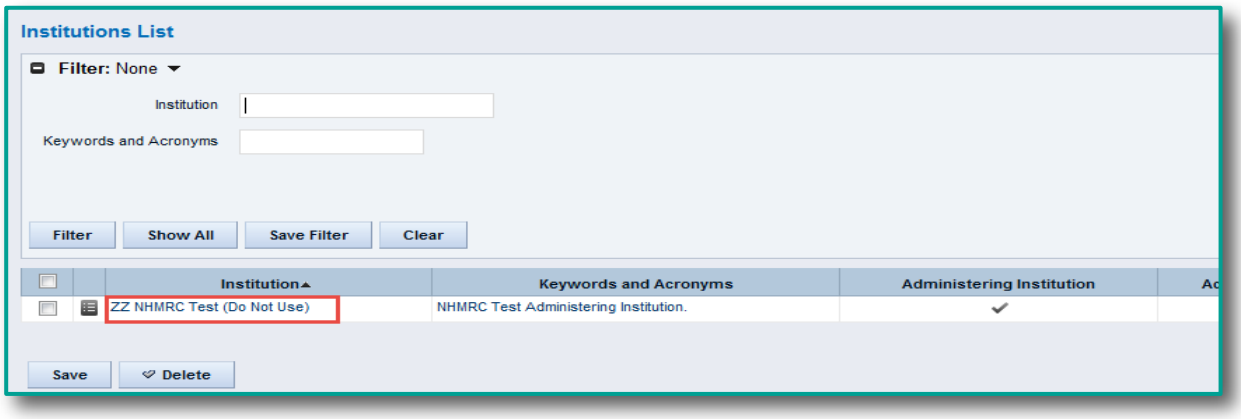


Figure 25 Selecting an institution from the Institutions List -

For further information on how to apply, clear, save and manage filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

From the **Properties** dropdown arrow ▾, you can access information and reporting for your institution.

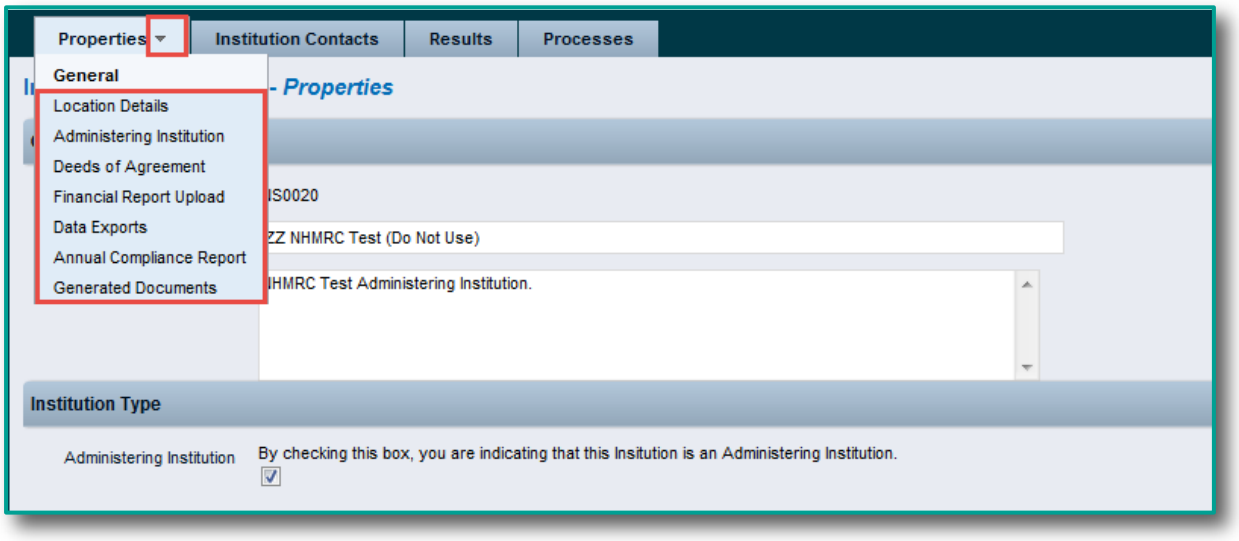


Figure 26 - Institutions: Properties menu

This menu comprises:

- **General** – This includes top level information for the institution.
- **Location Details** – This is the address information for the institution.
- **Administering Institution** – This includes information about the contact officers for that institution.
- **Deeds of Agreement** – This includes a list of any current Deeds of Agreement and the date of execution for each agreement with the NHMRC.
- **Financial Report Upload** – This section is used to review, edit and submit financial information to NHMRC. This functionality is illustrated in detail in **section 4 Financial Reporting.**
- **Data Exports** – This enables access to weekly application and grant reporting data.
- **Annual Compliance Reports** – this section is used to complete and submit Annual Compliance Reports to NHMRC. This functionality is illustrated in detail in **section 3.5 Institutional Annual Compliance Reporting.**
- **Generated Documents** – this section is used to access completed Annual Compliance Reports.

3.4. Data Exports

This functionality enables the RAO to access weekly application and grant data. This data includes:

- General information
- Budget data
- Team information
- Grant Milestones and Conditions

1. Navigate to the Institutional Information page; refer to section **3.3.1 Accessing the Institution information page**

2. Select the **Properties** dropdown ▾ menu

3. Select the **Data Exports** link as per Figure 27.

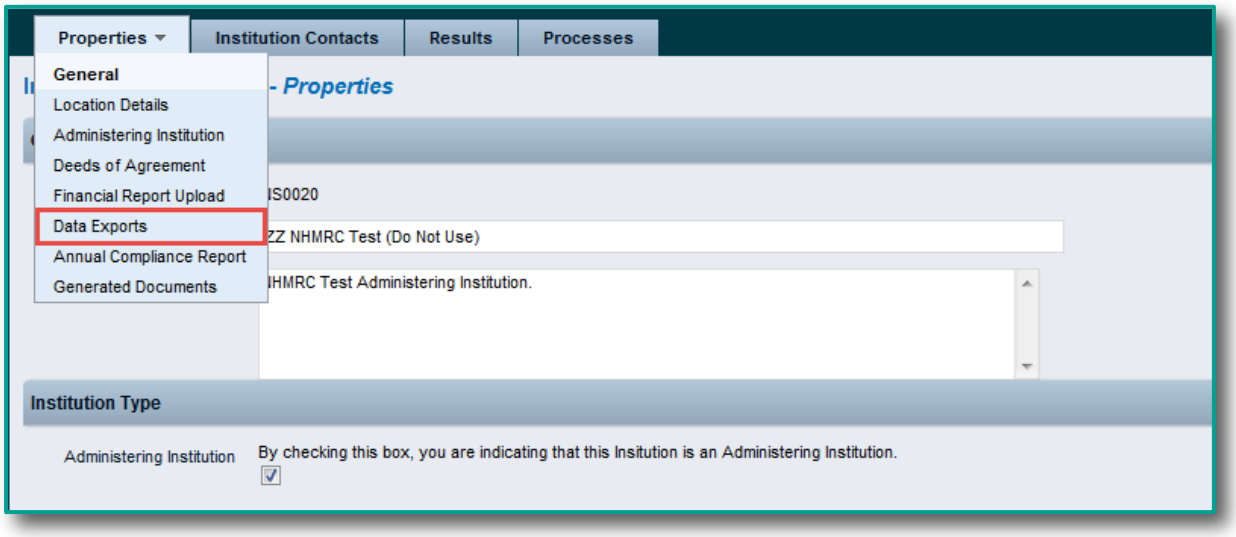


Figure 27 - Institutional Information Properties Menu: Data Exports

4. Check the Include in Next Data Export check box and enter a value into the Months field.

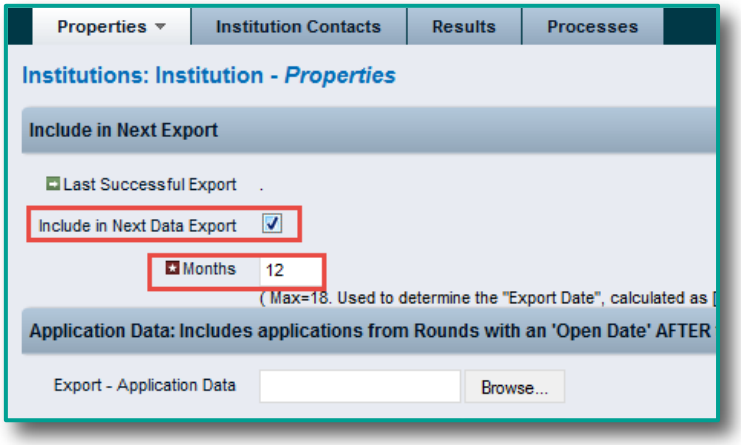


Figure 28 -Exporting Institutional Information Page

IMPORTANT NOTE

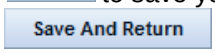
The value in the **'Months'** field is used to calculate which data to include in the export. It is used to calculate the Export Date, such that:

(current date) – ('Months') = export date

e.g. Months = **15** (**23-Aug-2013**) – (**15** months) = **23-May-2012**

The export date is then applied to the application data and grant data, but in different ways.

- For application data, applications are included when their application round open date is after the export date.
- For grant data, grants are included when their grant end date is after the export date.

5. Select **Save** to save your request and remain on the page. Alternatively, select **Save and Return**  to complete the process and return to the **Institutions List** page.

For more information about the differences between Save and Save and Return buttons refer to section 3.9 Save, Save and Return and Return in the RGMS User Guide – Introduction to RGMS (Research Community).

6. The process which generates the data exports runs weekly on a Sunday night. Each file is created and populated against the corresponding attachment field.

   Note: The 'Include in Next Data Export' checkbox is automatically unchecked after each run, and the 'Last Successful Export' date is populated.

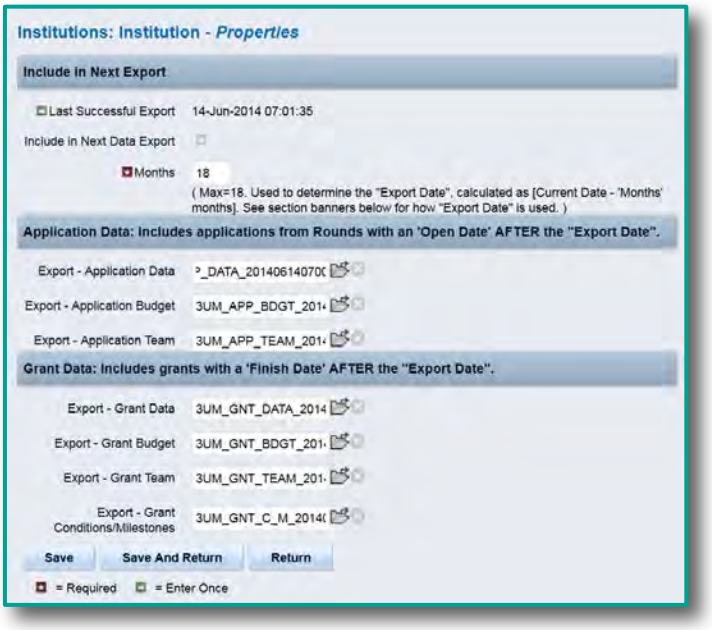

Institutions: Institution - Properties
Include in Next Export
Last Successful Export
14-Jun-2014 07:01:35
Include in Next Data Export
Months
18
(Max=18. Used to determine the "Export Date", calculated as [Current Date - 'Months' months]. See section banners below for how "Export Date" is used.)
Application Data: Includes applications from Rounds with an 'Open Date' AFTER the "Export Date".
Export - Application Data
Export - Application Budget
Export - Application Team
Grant Data: Includes grants with a 'Finish Date' AFTER the "Export Date".
Export - Grant Data
Export - Grant Budget
Export - Grant Team
Export - Grant Conditions/Milestones
Save
Save And Return
Return
= Required
= Enter Once

Figure 29 - Processed Export Institutional Information Page

7. To open a file, click on the folder icon next to the appropriate file name.

8. To save, hover the computer pointer over the folder icon, right click and select “Save target As”, “Save Link As”, or “Download Linked File” (depending on web browser used).

3.4.1. File Data Content

The **Data Export** process creates the following text (.txt) files:

- Application Data
- Application Budget
- Application Team
- Grant Data
- Grant Budget
- Grant Team
- Grant Conditions/Milestones

The data contained within each file is presented in untitled columns separated using the delimiter "|^".

Below is an example of the layout:

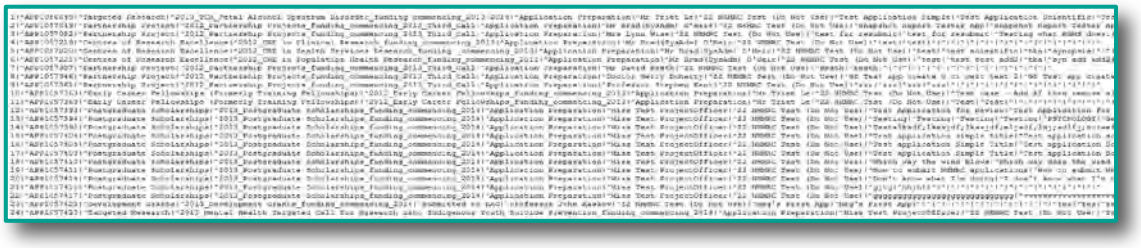


Figure 30 - Data export output

Please refer to the following tables to determine the column headers for each of the generated reports:

1. Application Data	
Column	Column Name/Contents
1	Row Number
2	Application Code
3	Application Initiative
4	Application Round
5	Application Status
6	CIA
7	CIA Email Address
8	CIA Alternate Email Address
9	Admin Institution
10	Application Title
11	Synopsis
12	Basic Research Area
13	Field of Research Category
14	Field of Research Subcategory
15	Research Keyword 1
16	Research Keyword 2
17	Research Keyword 3
18	Research Keyword 4
19	Research Keyword 5
20	Research Keyword 6
21	Research Keyword 7
22	Research Keyword 8
23	Research Keyword 9
24	Research Keyword 10
25	Requires Human Ethics
26	Requires Animal Ethics
27	Genetic Manipulation
28	Carcinogenic Toxic

2. Application Budget	
Column	Column Name/Contents
1	Row Number
2	Application Code
3	Application Initiative
4	Application Round
5	Application CIA
6	Salary Year1
7	Salary Year2
8	Salary Year3
9	Salary Year4
10	Salary Year5
11	Salary Total Value
12	DRC Year1
13	DRC Year2
14	DRC Year3
15	DRC Year4
16	DRC Year5
17	DRC Total Value
18	Equipment Year1
19	Equipment Year2
20	Equipment Year3
21	Equipment Year4
22	Equipment Year5
23	Equipment Total Value
24	Round Level Allowances Year1
25	Round Level Allowances Year2
26	Round Level Allowances Year3
27	Round Level Allowances Year4
28	Round Level Allowances Year5
29	Round Level Allowances Total Value
30	Total Budget

3. Application Team	
Column	**Column Name/Contents**
1	Row Number
2	Application Code
3	Application Initiative
4	Application Round
5	Application Role (if CI)
6	Team Member Type
7	Title
8	First Name
9	Middle Name
10	Last Name
11	Person Identifier – A seven digit unique identifier (RGMS account holders only)
12	Email Address
13	Alternate Email Address

4. Grant Data	
Column	**Column Name/Contents**
1	Row Number
2	Grant Code
3	Grant Initiative
4	Grant Round
5	Grant Status
6	CIA
7	CIA Email Address
8	CIA Alternate Email Address
9	Admin Institution
10	Grant Title
11	Application Year
12	Number Years Approved
13	Start Date – format: dd-Mon-yyyy

14	Affiliated Institution
15	Salary Level
16	Salary Level Code
17	Percentage Year1
18	Percentage Year2
19	Percentage Year3
20	Percentage Year4
21	Percentage Year5

14	Finish Date – format: dd-Mon-yyyy
15	Number Outstanding Conditions
16	Is Co-funded?
17	Salary Total
18	DRC Total
19	Equip Total
20	Other Items Total
21	Total Amount

5. Grant Budget

Column	Column Name/Contents
1	Row Number
2	Grant Code
3	Grant Initiative
4	Grant Round
5	Grant Status
6	CIA
7	Budget Year
8	Budget Component
9	Total Amount for Year

Grant Conditions and Milestones	
Column	Column Name/Contents
1	Row Number
2	Grant Code
3	Grant Initiative
4	Grant Round
5	Grant Status
6	Condition or Milestone
7	Condition/Milestone Type
8	Condition/Milestone Description
9	Condition/Milestone Due Date
10	Condition/Milestone Date Met: values: “Not Yet Met” or actual date met
11	Does this Condition/Milestone Stop Payments?

6. Grant Team

Column	Column Name/Contents
1	Row Number
2	Grant Code
3	Grant Initiative
4	Grand Round
5	Grant Status
6	Team Member
7	Person Identifier – A seven digit unique identifier (RGMS account holders only)
8	Is Team Member Active
9	Email Address
10	Alternate Email Address
11	Affiliated Institution
12	Member Role
13	Member Type
14	Start Date – format: dd-Mon-yyyy
15	Finish Date – format: dd-Mon-yyyy
16	Salary Level
17	Salary Level Code

3.4.2. Transferring Data Content to Excel and separating into columns

The file(s) exported from RGMS are in delimited .txt format without columns or column headers, therefore it can be difficult to sort and analyse the data easily.

The following steps will show you how to transfer the data into an Excel spreadsheet and separate the data into columns.

1. Navigate to the **Institutional Information** page; refer to section **3.3.15 Accessing the Institution Information Page**.
2. Select the **Data Exports** subpage.
3. To open a file, click on the **folder icon** next to the appropriate file name.

Below is an example of the layout;

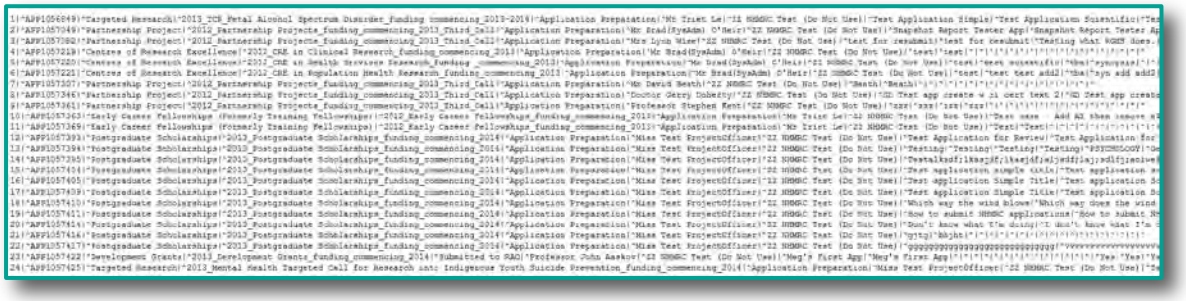


Figure 31 - Data export output

4. Select and copy all of the data within the text file.
5. Open a blank workbook in Microsoft Excel.
6. Click in cell **A1** and **paste** the data you had copied from the original export.
   *The data will be copied into **Column A** of the spreadsheet*.
7. Ensure that **Column A** is highlighted and select the **Data** tab from the ribbon at the top of your screen.
8. Click on the **Text to Columns** button.

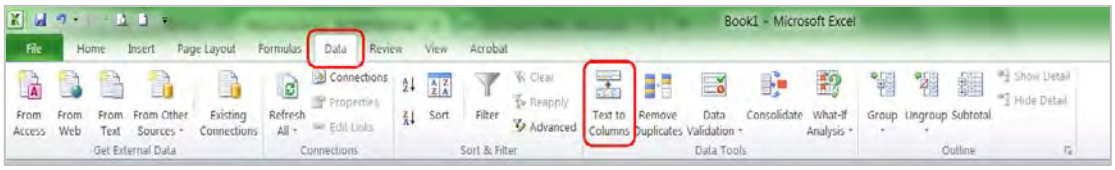


Figure 32 - Selecting Text to Columns in Microsoft Excel

9. Select the **Delimited** option under **Original Data Type** and click **Next**.

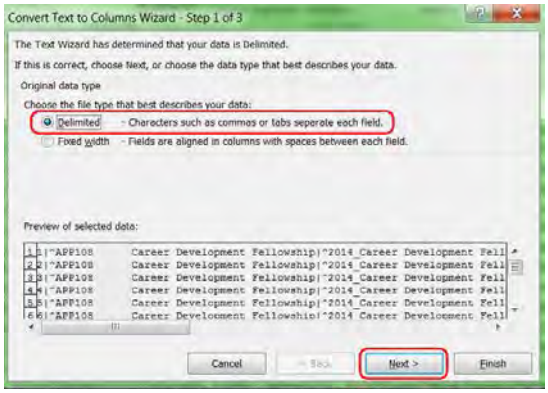

Convert Text to Columns Wizard - Step 1 of 3
The Text Wizard has determined that your data is Delimited.
If this is correct, choose Next, or choose the data type that best describes your data.
Original data type
Choose the file type that best describes your data:
Delimited - Characters such as commas or tabs seperate each field.
Fixed width - Fields are aligned in columns with spaces between each field.
Preview of selected data:
Cancel
< Back
Next >
Finish

Figure 33 – Convert Text to Columns step 1 of 3

10. Under the **Delimiters** heading, unselect the **Tab** option and select **Other**.
11. In the **Other** free text field enter **^** (shift + 6) and click **Next.**

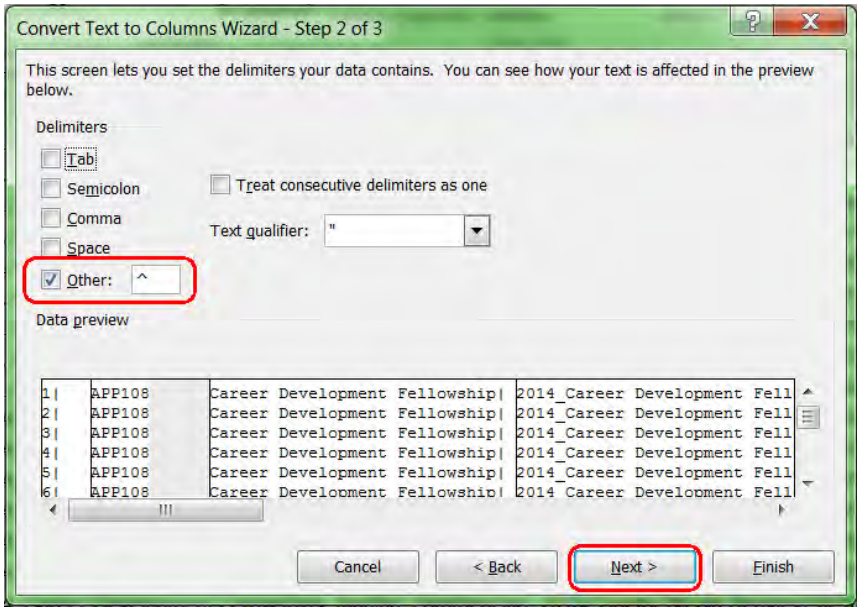

Convert Text to Columns Wizard - Step 2 of 3
This screen lets you set the delimiters your data contains. You can see how your text is affected in the preview below.
Delimiters
Tab
Semicolon
Comma
Space
Other: ^
Treat consecutive delimiters as one
Text qualifier: "
Data preview
1| APP108 Career Development Fellowship| 2014_Career Development Fell
2| APP108 Career Development Fellowship| 2014_Career Development Fell
3| APP108 Career Development Fellowship| 2014_Career Development Fell
4| APP108 Career Development Fellowship| 2014_Career Development Fell
5| APP108 Career Development Fellowship| 2014_Career Development Fell
6| APP108 Career Development Fellowship| 2014_Career Development Fell
Cancel
< Back
Next >
Finish

Figure 34 -Convert Text to Columns step 2 of 3

12. Ensure that **General** is selected under **Column Data Format** and click **Finish**.

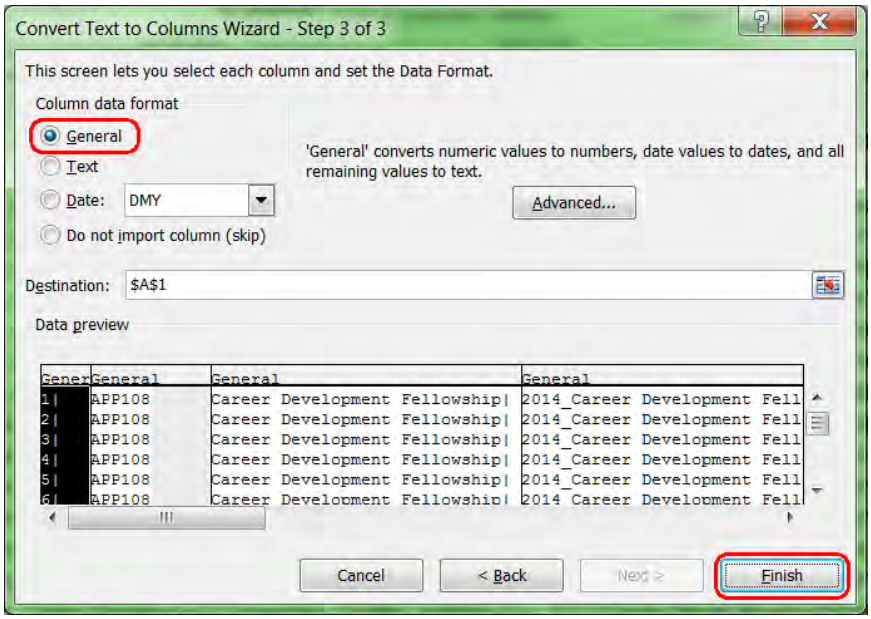

Convert Text to Columns Wizard - Step 3 of 3
This screen lets you select each column and set the Data Format.
Column data format
General
Text
Date: DMY
Do not import column (skip)
'General' converts numeric values to numbers, date values to dates, and all remaining values to text.
Advanced...
Destination: A1
Data preview
General General General
1 APP108 Career Development Fellowship 2014_Career Development Fell
2 APP108 Career Development Fellowship 2014_Career Development Fell
3 APP108 Career Development Fellowship 2014_Career Development Fell
4 APP108 Career Development Fellowship 2014_Career Development Fell
5 APP108 Career Development Fellowship 2014_Career Development Fell
Cancel
< Back
Next >
Finish

Figure 35 -Convert Text to Columns step 3 of 3

The data should now be separated into columns.

IMPORTANT NOTE

To add a header row you will need to insert a new row at the top of the table and then enter the header names above the corresponding columns.

For details on header rows please refer to the tables in section **3.4.1 File Data Content**.

3.5. Institutional Annual Compliance Reporting

RAO

IMPORTANT NOTE

The information covered in this section is for Research Administration Officers (RAOs) reference only.

Administering Institutions are required to submit an annual report that details compliance with NHMRC approved standards and guidelines for the previous calendar year.

The steps below outline how to submit this report.

1. From the RGMS Home page, select the **RAO/Finance Officers** tab.
2. Select the **Institutional Annual Compliance Reports** quicklink.

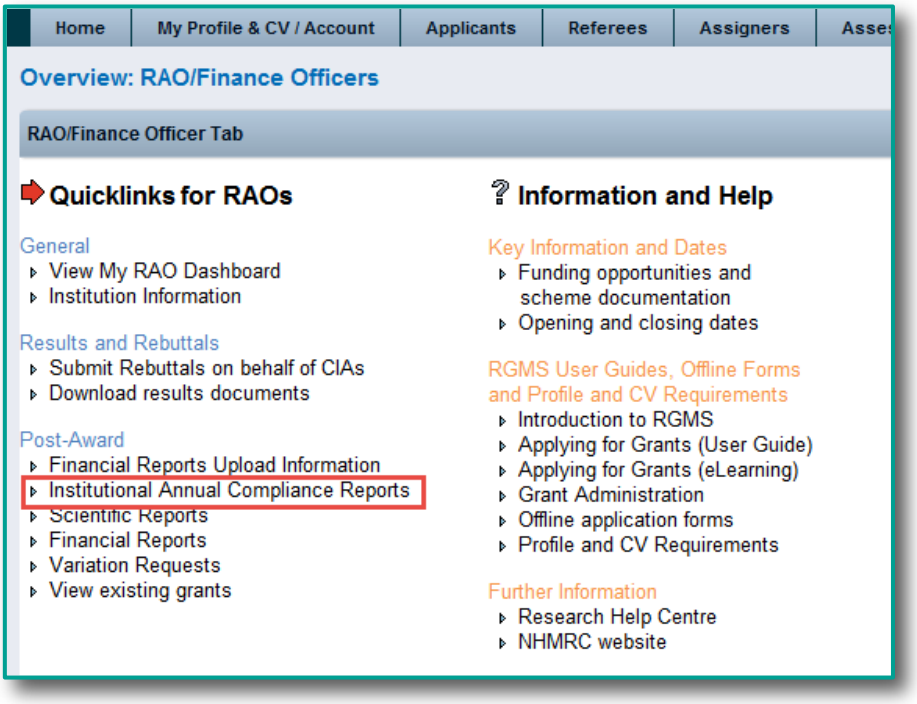


Figure 36 -Quicklinks for RAOs

3. Select the hyperlink of your institution's name from the **Institution** column.

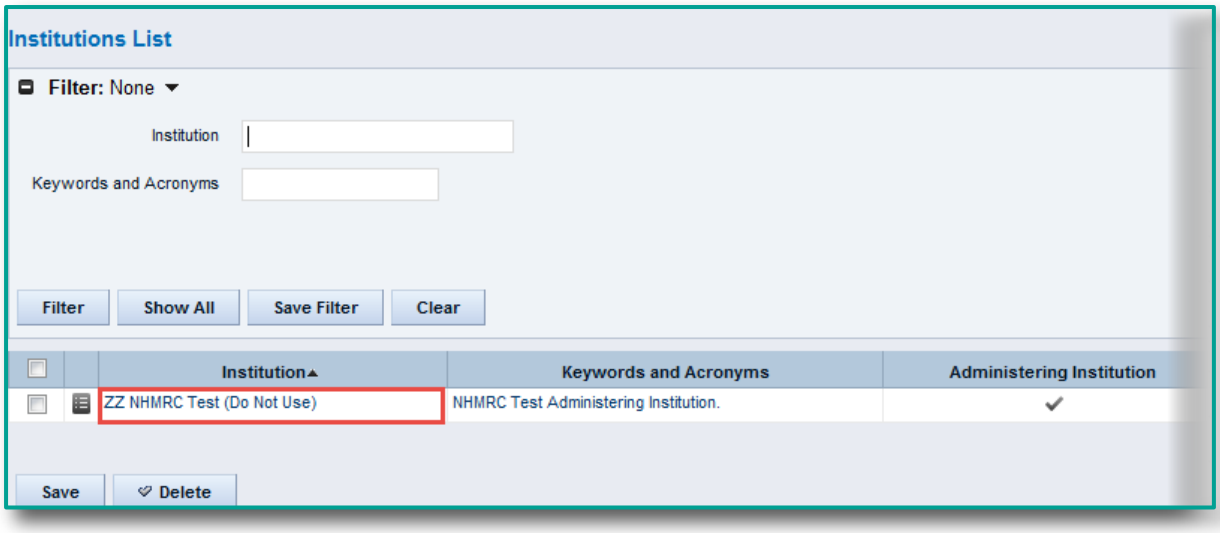


Figure 37 - Figure - Institution list

Figure 38 - Institution Properties

4. Select the **Annual Compliance Report** from the **Properties** dropdown menu.

   Any previously submitted annual compliance reports will be listed here.

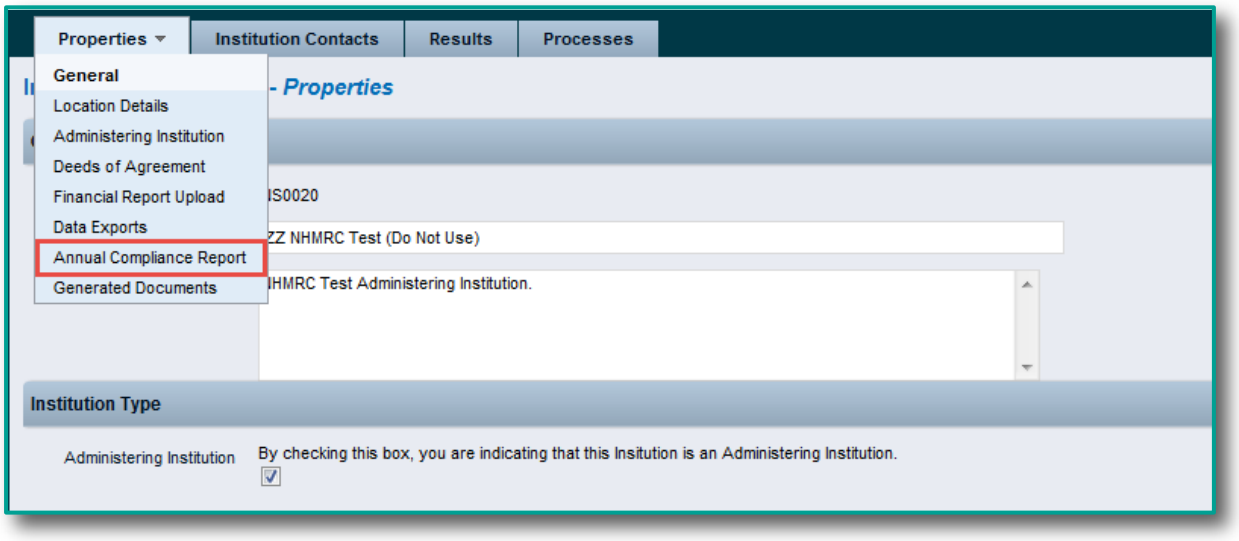


Figure 39 - Annual Compliance Report sub-page

5. Select **New** to create a new report.

6. Select the relevant year for the report from the **Report Year** dropdown field menu.

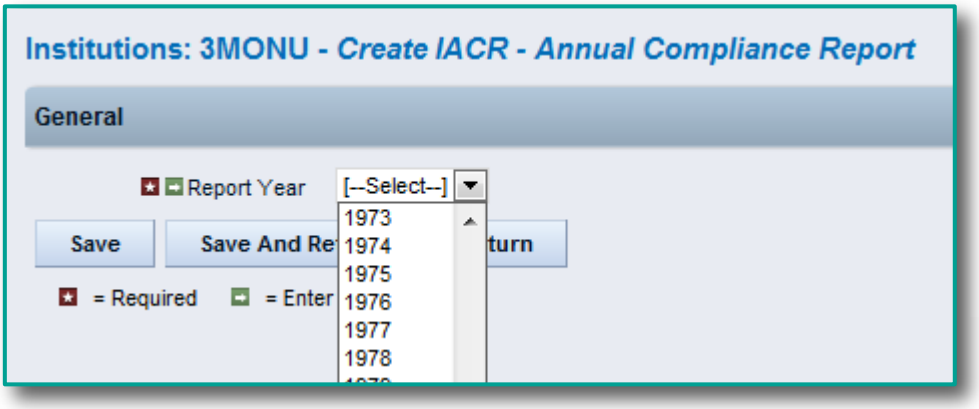


Figure 40 -Report Year drop-down

7. Select **Save** .

8. Navigate to the **Properties Tab** and select the dropdown menu ▾. A menu will appear that lists links to different parts of the report.

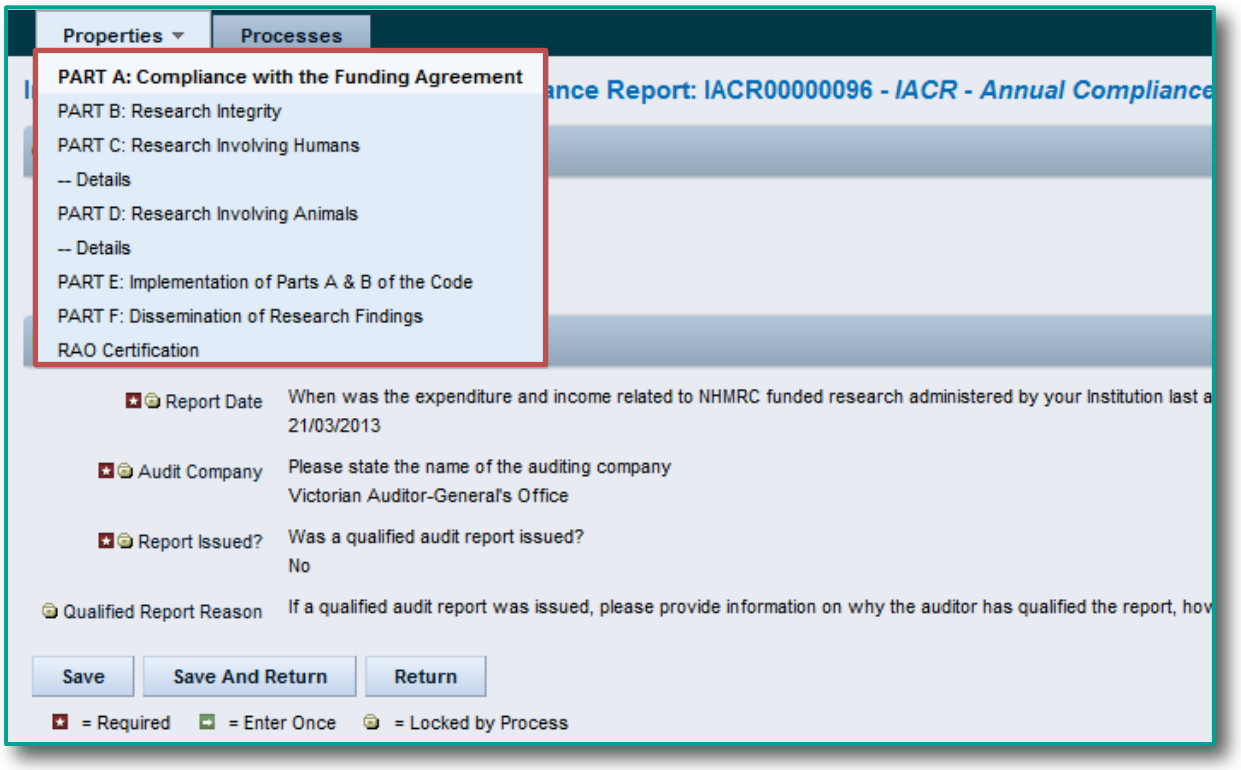

Properties
Processes
PART A: Compliance with the Funding Agreement
PART B: Research Integrity
PART C: Research Involving Humans
-- Details
PART D: Research Involving Animals
-- Details
PART E: Implementation of Parts A & B of the Code
PART F: Dissemination of Research Findings
RAO Certification
nce Report: IACR00000096 - IACR - Annual Compliance
Report Date
When was the expenditure and income related to NHMRC funded research administered by your Institution last a
21/03/2013
Audit Company
Please state the name of the auditing company
Victorian Auditor-General's Office
Report Issued?
Was a qualified audit report issued?
No
Qualified Report Reason
If a qualified audit report was issued, please provide information on why the auditor has qualified the report, hov
Save
Save And Return
Return
= Required
= Enter Once
= Locked by Process

Figure 41 -Annual Compliance Report sub-menu

IMPORTANT NOTE

As you complete each part of the report additional links may appear in the **Properties** menu, depending on your answers to particular questions (see Figure 42 below).

Figure 42 -Annual Compliance Report sub-menu

It is important that you refer to the menu regularly to see if there are any additional pages that need completing. You will not be able to submit your report until all pages are complete.

9. Select **Part A** from the menu, complete all mandatory fields , and select **Save** Save.

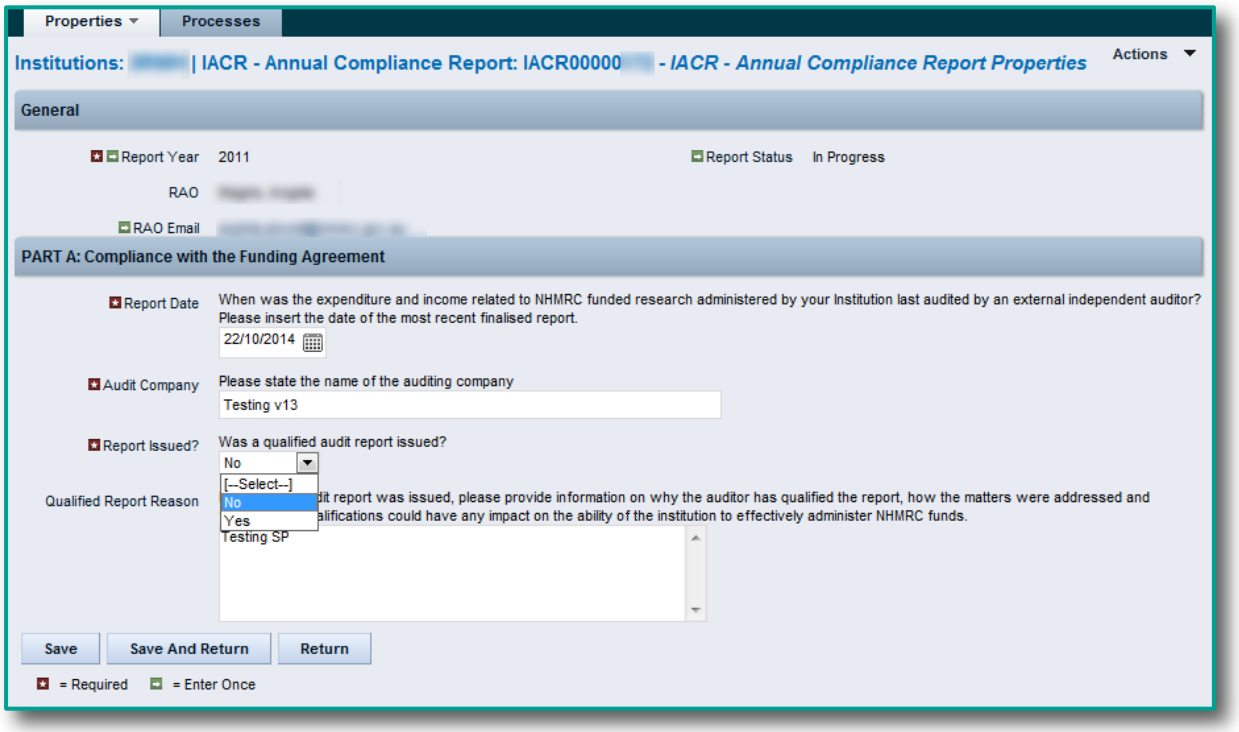

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
Actions
General
Report Year 2011
Report Status In Progress
RAO
RAO Email
PART A: Compliance with the Funding Agreement
Report Date
When was the expenditure and income related to NHMRC funded research administered by your Institution last audited by an external independent auditor? Please insert the date of the most recent finalised report.
22/10/2014
Audit Company
Please state the name of the auditing company
Testing v13
Report Issued?
Was a qualified audit report issued?
No
[--Select--]
No
Yes
Qualified Report Reason
dit report was issued, please provide information on why the auditor has qualified the report, how the matters were addressed and alifications could have any impact on the ability of the institution to effectively administer NHMRC funds.
Testing SP
Save
Save And Return
Return
= Required
= Enter Once

Figure 43 - Part A: Compliance with the Funding Agreement

10. Select **Part B** from the menu, complete all mandatory fields, and select **Save** Save.

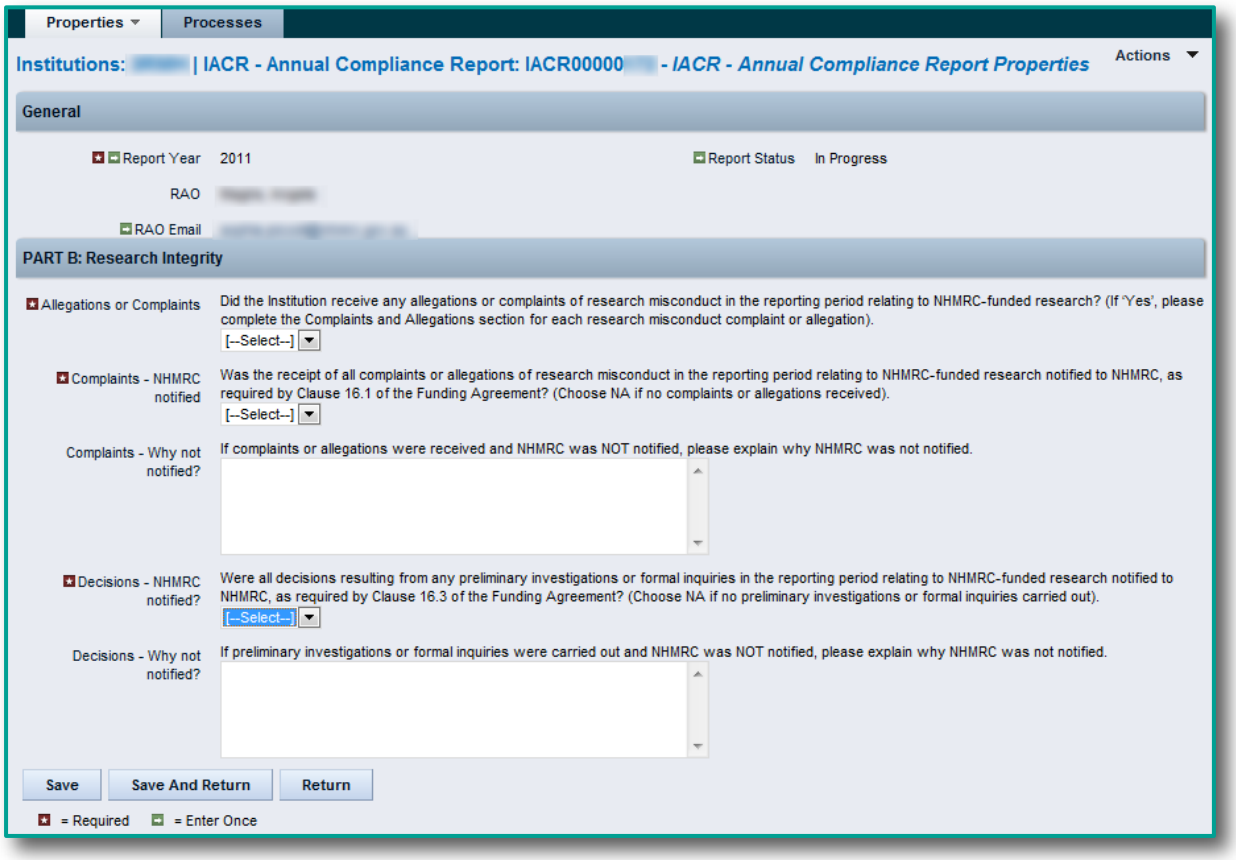

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
Actions
General
Report Year 2011
Report Status In Progress
RAO
RAO Email
PART B: Research Integrity
Allegations or Complaints
Did the Institution receive any allegations or complaints of research misconduct in the reporting period relating to NHMRC-funded research? (If 'Yes', please complete the Complaints and Allegations section for each research misconduct complaint or allegation).
[--Select--]
Complaints - NHMRC notified
Was the receipt of all complaints or allegations of research misconduct in the reporting period relating to NHMRC-funded research notified to NHMRC, as required by Clause 16.1 of the Funding Agreement? (Choose NA if no complaints or allegations received).
[--Select--]
Complaints - Why not notified?
If complaints or allegations were received and NHMRC was NOT notified, please explain why NHMRC was not notified.
Decisions - NHMRC notified?
Were all decisions resulting from any preliminary investigations or formal inquiries in the reporting period relating to NHMRC-funded research notified to NHMRC, as required by Clause 16.3 of the Funding Agreement? (Choose NA if no preliminary investigations or formal inquiries carried out).
[--Select--]
Decisions - Why not notified?
If preliminary investigations or formal inquiries were carried out and NHMRC was NOT notified, please explain why NHMRC was not notified.
Save
Save And Return
Return
= Required
= Enter Once

Figure 44 -Part B: Research Integrity

11. If you answered **yes** in **Part B** to your institution receiving allegations or complaints, provide details of each complaint or allegation as follows:

    a. Select **Complaints & Allegations** from **Properties** dropdown ▾ menu

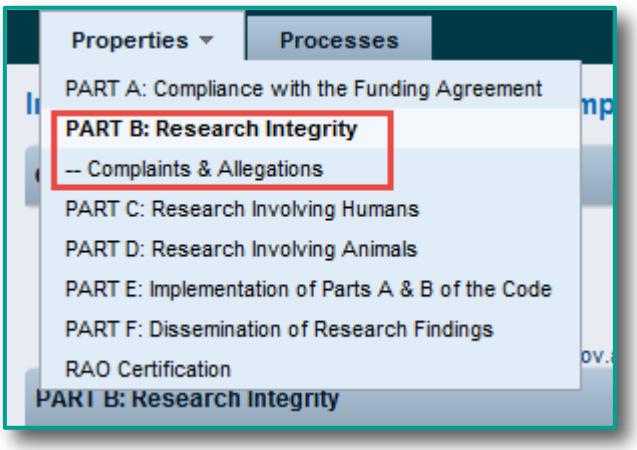

Properties
Processes
PART A: Compliance with the Funding Agreement
PART B: Research Integrity
-- Complaints & Allegations
PART C: Research Involving Humans
PART D: Research Involving Animals
PART E: Implementation of Parts A & B of the Code
PART F: Dissemination of Research Findings
RAO Certification
PART B: Research Integrity

Figure 45 -Complaints & Allegations sub-menu

b. Select **New** and then **Save** Save to create a record of the complaint.

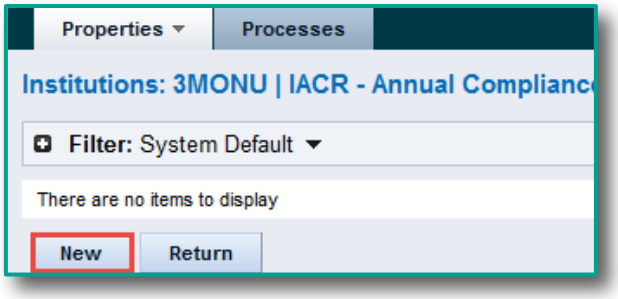


Figure 46 -Complaints & Allegations: Creating a new record

Figure 47 -Complaints & Allegations page

c. Complete all mandatory fields , and select **Submit**.

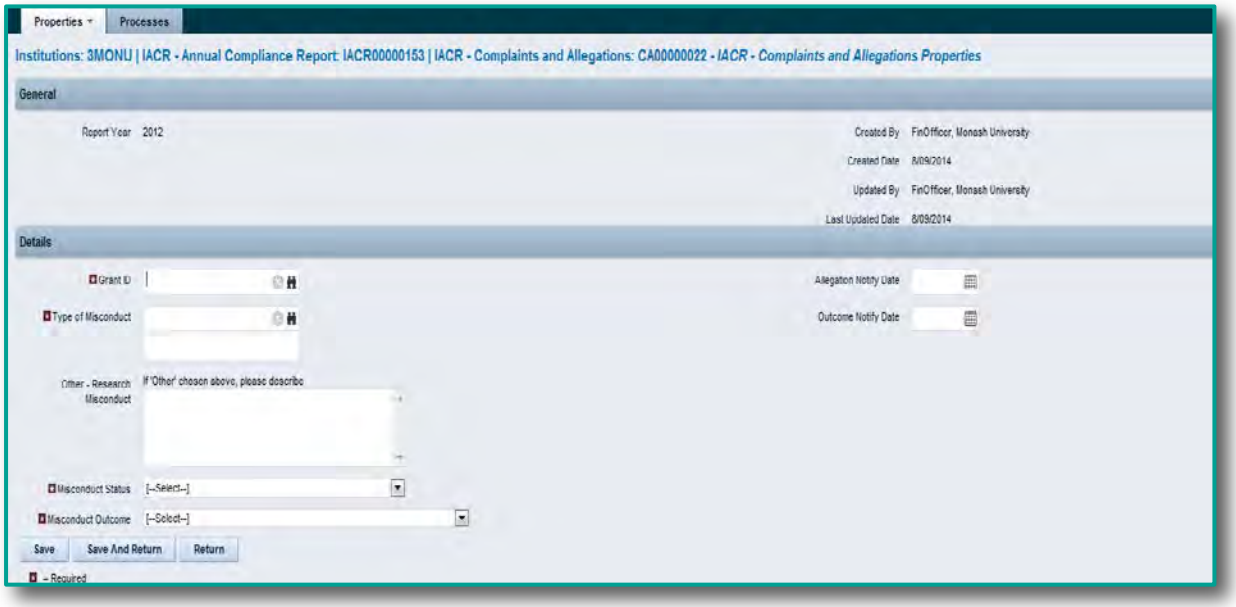


Figure 48 -Complaints & Allegations Properties page

d. Repeat steps **b.** and **c.** for any additional complaints or allegations received.

12. Select **Part C** from the menu, complete all mandatory fields, and select **Save** Save.

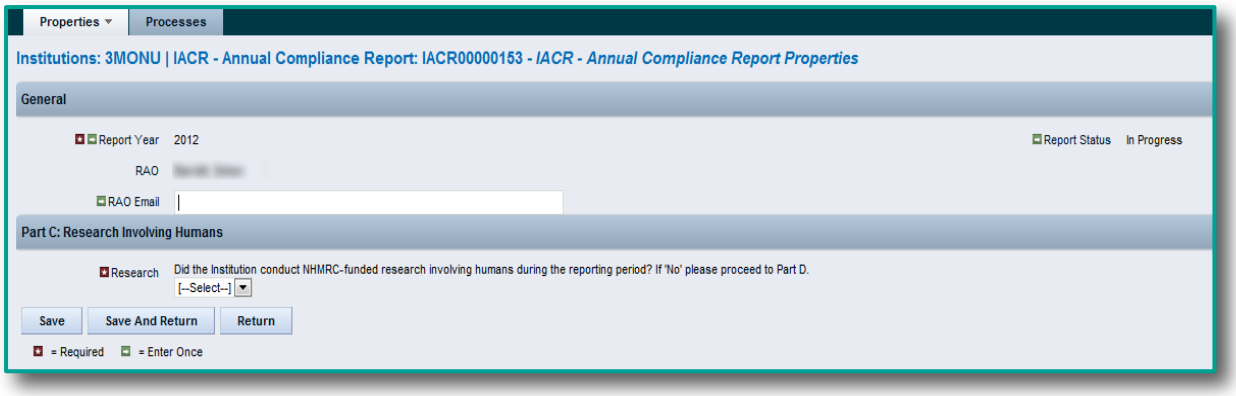


Figure 49 -Part C: Research Involving Humans

13. If you answered **yes** in **Part C** to conducting research involving humans, provide further details as follows:

a. Navigate to the Properties dropdown menu and elect Details (under PART C: Research Involving Humans).

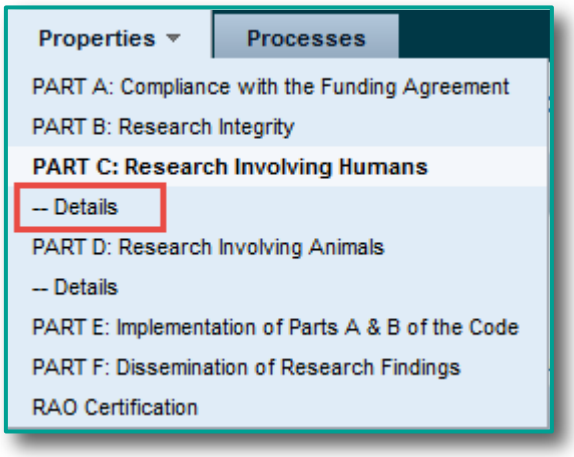

Properties
Processes
PART A: Compliance with the Funding Agreement
PART B: Research Integrity
PART C: Research Involving Humans
-- Details
PART D: Research Involving Animals
-- Details
PART E: Implementation of Parts A & B of the Code
PART F: Dissemination of Research Findings
RAO Certification

Figure 50 - Part C: Research Involving Humans Sub-menu

b. Complete all mandatory fields, and select **Save** Save.

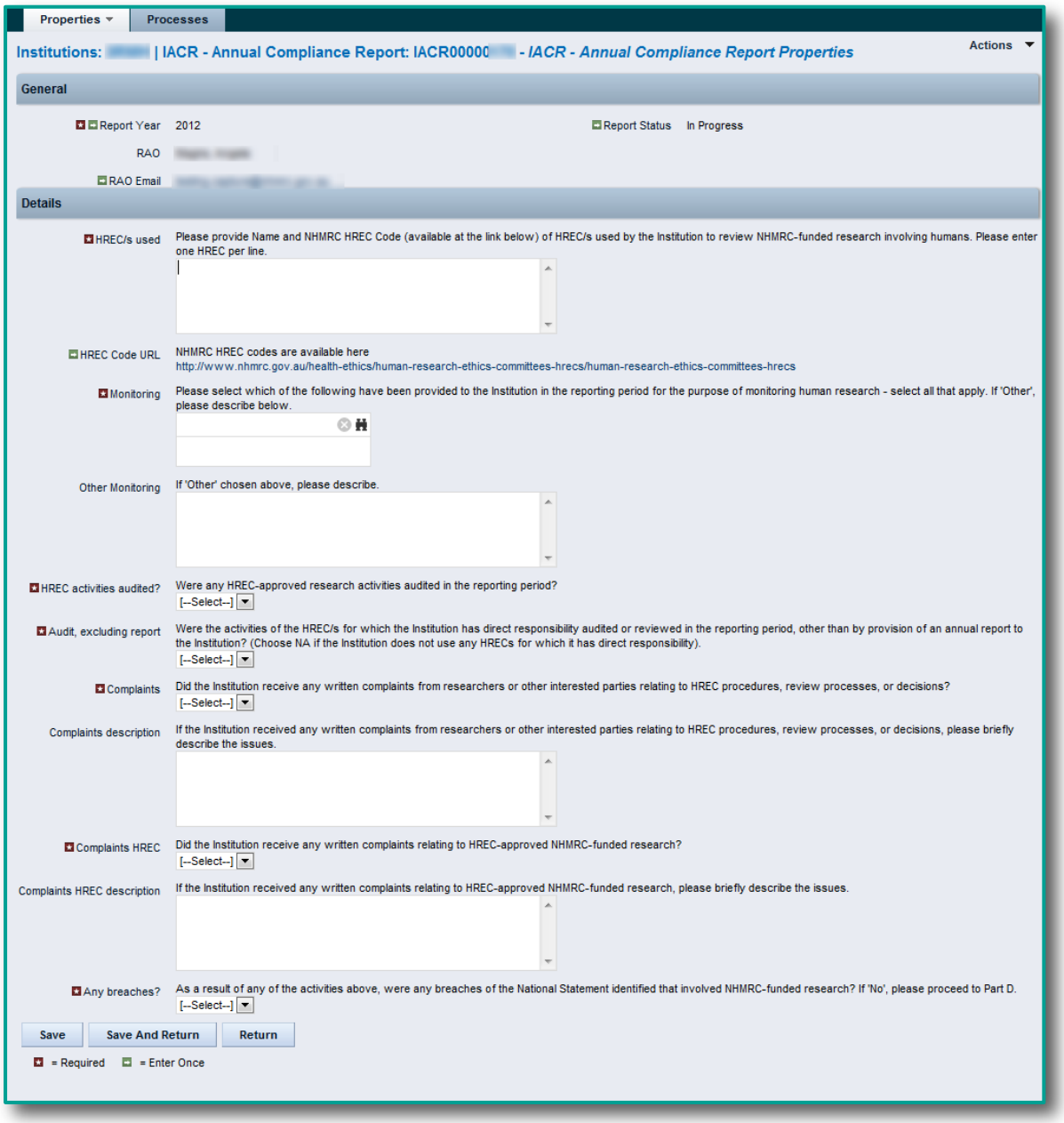

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
Actions
General
Report Year 2012
Report Status In Progress
RAO
RAO Email
Details
HREC/s used
Please provide Name and NHMRC HREC Code (available at the link below) of HREC/s used by the Institution to review NHMRC-funded research involving humans. Please enter one HREC per line.
HREC Code URL
NHMRC HREC codes are available here
http://www.nhmrc.gov.au/health-ethics/human-research-ethics-committees-hrecs/human-research-ethics-committees-hrecs
Monitoring
Please select which of the following have been provided to the Institution in the reporting period for the purpose of monitoring human research - select all that apply. If 'Other', please describe below.
Other Monitoring
If 'Other' chosen above, please describe.
HREC activities audited?
Were any HREC-approved research activities audited in the reporting period?
[--Select--]
Audit, excluding report
Were the activities of the HREC/s for which the Institution has direct responsibility audited or reviewed in the reporting period, other than by provision of an annual report to the Institution? (Choose NA if the Institution does not use any HRECs for which it has direct responsibility).
[--Select--]
Complaints
Did the Institution receive any written complaints from researchers or other interested parties relating to HREC procedures, review processes, or decisions?
[--Select--]
Complaints description
If the Institution received any written complaints from researchers or other interested parties relating to HREC procedures, review processes, or decisions, please briefly describe the issues.
Complaints HREC
Did the Institution receive any written complaints relating to HREC-approved NHMRC-funded research?
[--Select--]
Complaints HREC description
If the Institution received any written complaints relating to HREC-approved NHMRC-funded research, please briefly describe the issues.
Any breaches?
As a result of any of the activities above, were any breaches of the National Statement identified that involved NHMRC-funded research? If 'No', please proceed to Part D.
[--Select--]
Save
Save And Return
Return
= Required
= Enter Once

Figure 51 -Part C: Research Involving Humans Details page

c. If you answered **yes** to breaches of the National Statement, select **Breaches** (under Research Involving Humans) from the **Properties** dropdown menu , complete all mandatory fields, and select **Save** Save.

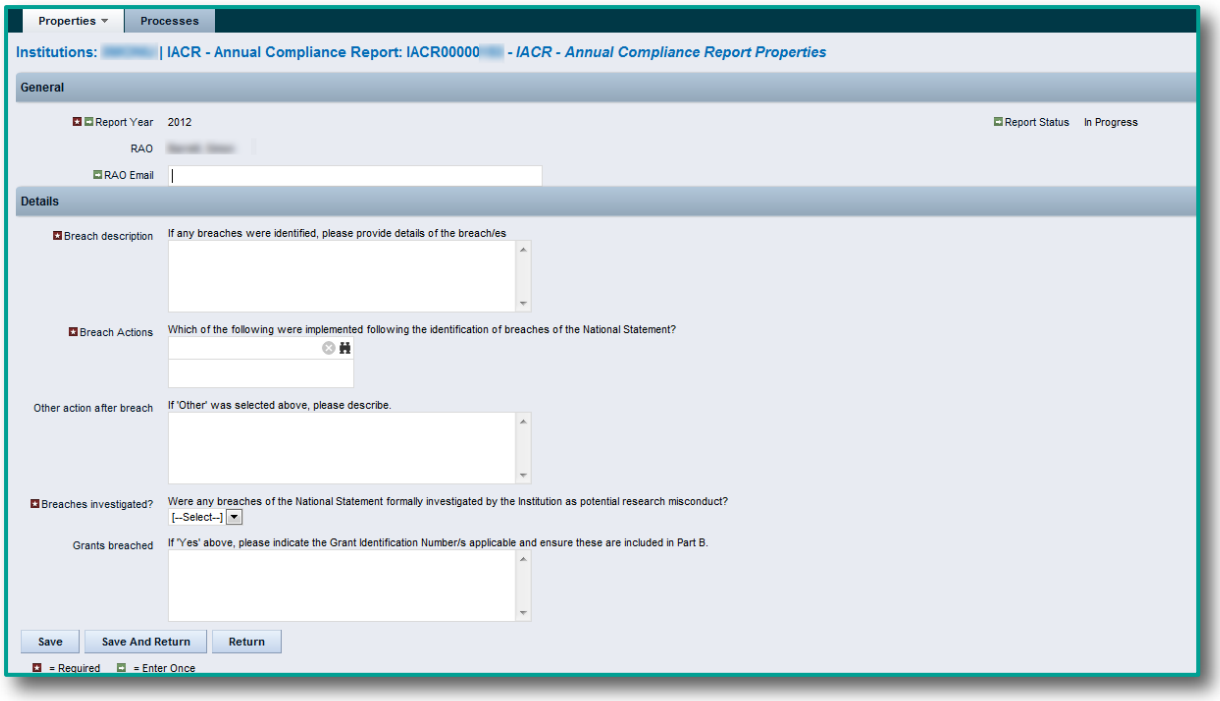

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
General
Report Year 2012
Report Status In Progress
RAO
RAO Email
Details
Breach description
If any breaches were identified, please provide details of the breach/es
Breach Actions
Which of the following were implemented following the identification of breaches of the National Statement?
Other action after breach
If 'Other' was selected above, please describe.
Breaches investigated?
Were any breaches of the National Statement formally investigated by the Institution as potential research misconduct?
[--Select--]
Grants breached
If 'Yes' above, please indicate the Grant Identification Number/s applicable and ensure these are included in Part B.
Save
Save And Return
Return
= Required
= Enter Once

Figure 52 -Part C: Research Involving Humans Details page

14. Select **Part D** from the **Properties** dropdown menu , complete all mandatory fields, and select **Save** Save.

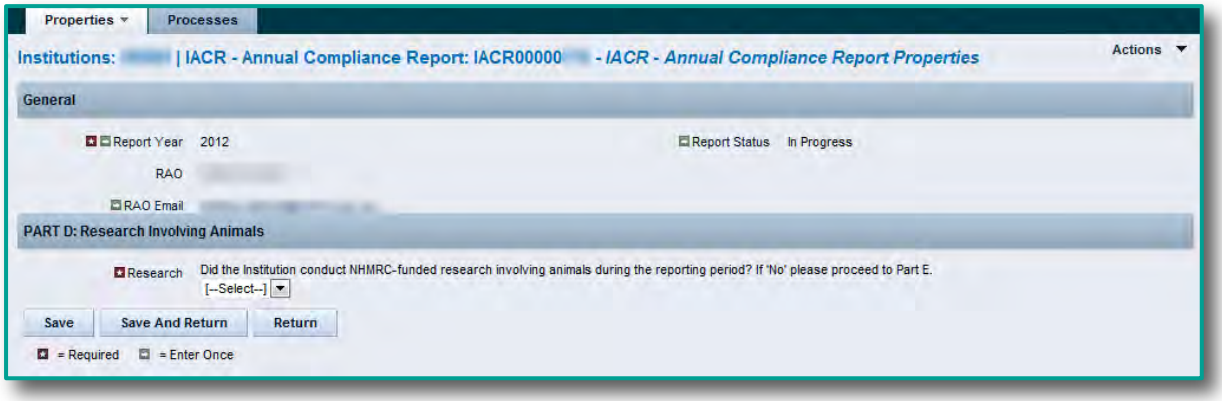


Figure 53 -Part D: Research Involving Animals

15. If you answered **yes** in **Part D** to conducting research involving animals, provide further details as follows:

    a. Navigate to the **Properties** dropdown ▾ menu and select **Details** (under PART D: Research Involving Animals)**.**

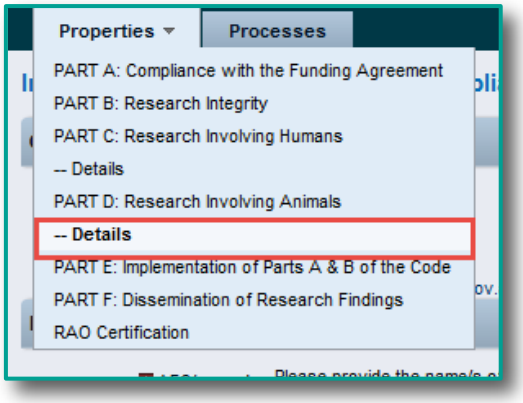

Properties
Processes
PART A: Compliance with the Funding Agreement
PART B: Research Integrity
PART C: Research Involving Humans
-- Details
PART D: Research Involving Animals
-- Details
PART E: Implementation of Parts A & B of the Code
PART F: Dissemination of Research Findings
RAO Certification

Figure 54 - Part D: Research Involving Animals sub-menu

    b. Complete all mandatory fields, and select **Save** Save.

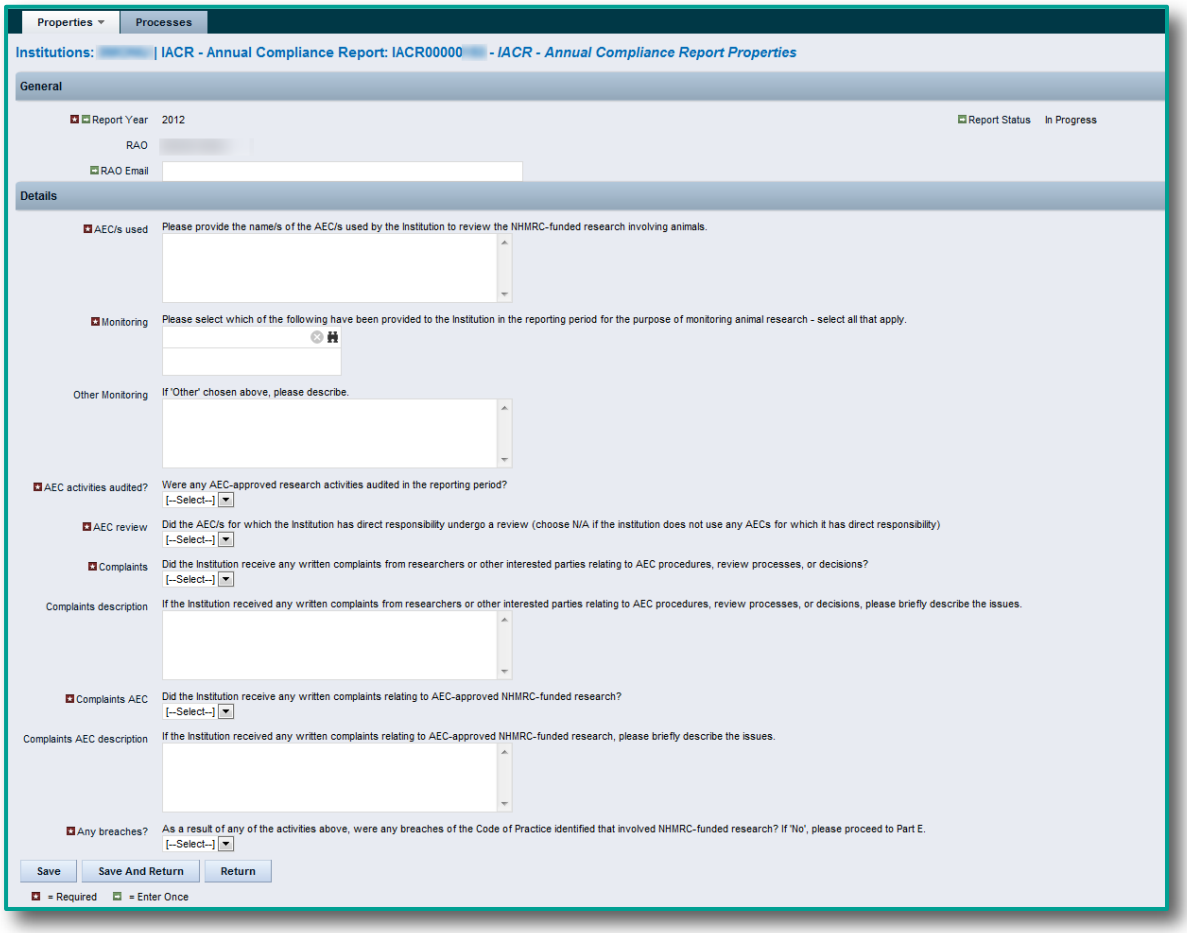

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
General
Report Year 2012
Report Status In Progress
RAO
RAO Email
Details
AEC/s used Please provide the name/s of the AEC/s used by the Institution to review the NHMRC-funded research involving animals.
Monitoring Please select which of the following have been provided to the Institution in the reporting period for the purpose of monitoring animal research - select all that apply.
Other Monitoring If 'Other' chosen above, please describe.
AEC activities audited? Were any AEC-approved research activities audited in the reporting period?
AEC review Did the AEC/s for which the Institution has direct responsibility undergo a review (choose N/A if the institution does not use any AECs for which it has direct responsibility)
Complaints Did the Institution receive any written complaints from researchers or other interested parties relating to AEC procedures, review processes, or decisions?
Complaints description If the Institution received any written complaints from researchers or other interested parties relating to AEC procedures, review processes, or decisions, please briefly describe the issues.
Complaints AEC Did the Institution receive any written complaints relating to AEC-approved NHMRC-funded research?
Complaints AEC description If the Institution received any written complaints relating to AEC-approved NHMRC-funded research, please briefly describe the issues.
Any breaches? As a result of any of the activities above, were any breaches of the Code of Practice identified that involved NHMRC-funded research? If 'No', please proceed to Part E.
Save
Save And Return
Return
= Required
= Enter Once

Figure 55 -Part D: Research Involving Animals Details page

16. If you answered **yes** to **Breaches of the Code of Practice**, provide further details as follows:
    a. Navigate to the **Properties** dropdown menu , and select the **Breaches** link (under Part C - Research Involving Animals)

    b. Complete all mandatory fields , and select **Save** Save.

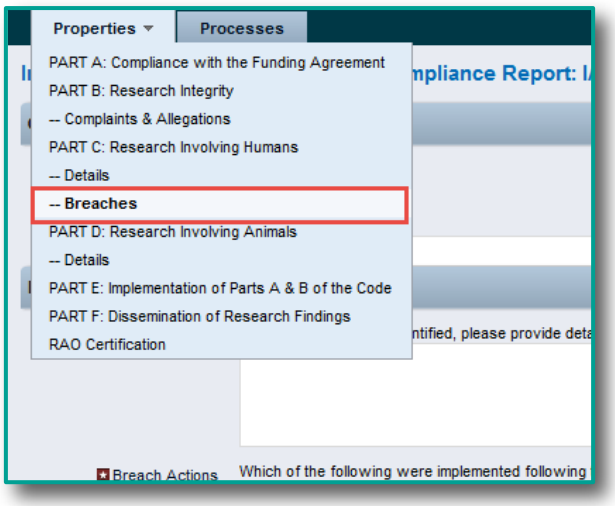

Properties
Processes
PART A: Compliance with the Funding Agreement
PART B: Research Integrity
-- Complaints & Allegations
PART C: Research Involving Humans
-- Details
-- Breaches
PART D: Research Involving Animals
-- Details
PART E: Implementation of Parts A & B of the Code
PART F: Dissemination of Research Findings
RAO Certification
Breach Actions
Which of the following were implemented following

Figure 56 -Part D: Research Involving Animals Breaches page

17. Navigate **to the Properties** dropdown menu , and select **Part E** from the menu.
    a. Complete all mandatory fields , and select **Save** Save.

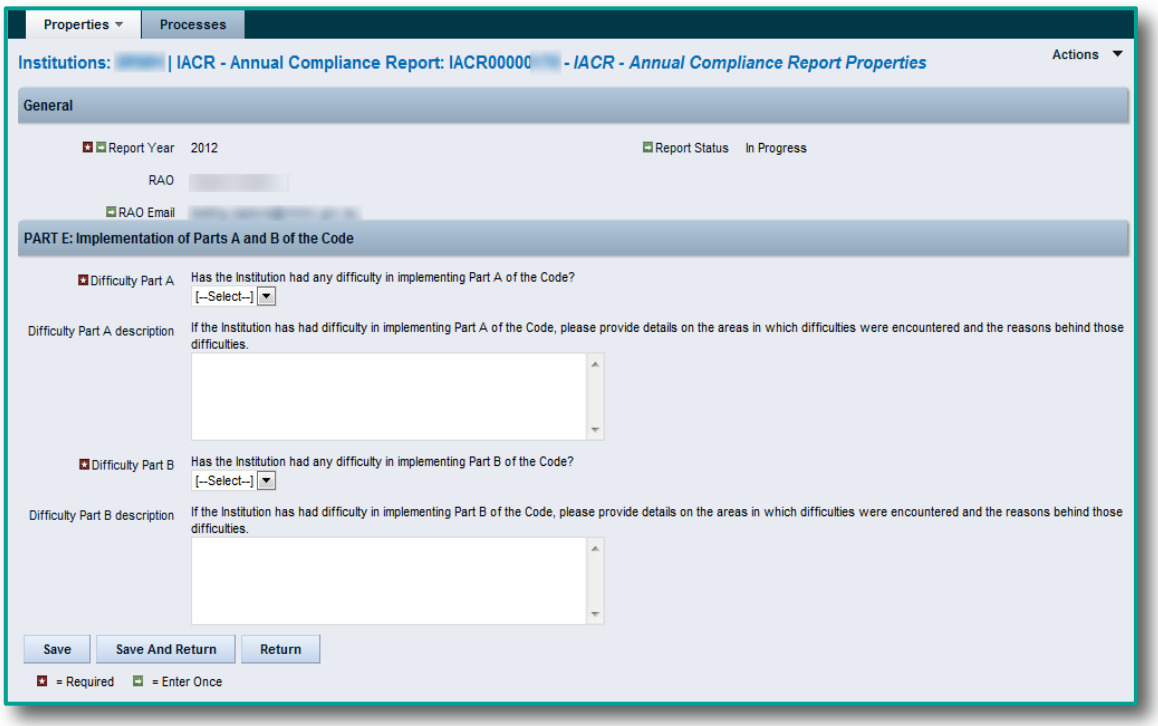

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
Actions
General
Report Year 2012
Report Status In Progress
RAO
RAO Email
PART E: Implementation of Parts A and B of the Code
Difficulty Part A
Has the Institution had any difficulty in implementing Part A of the Code?
[--Select--]
Difficulty Part A description
If the Institution has had difficulty in implementing Part A of the Code, please provide details on the areas in which difficulties were encountered and the reasons behind those difficulties.
Difficulty Part B
Has the Institution had any difficulty in implementing Part B of the Code?
[--Select--]
Difficulty Part B description
If the Institution has had difficulty in implementing Part B of the Code, please provide details on the areas in which difficulties were encountered and the reasons behind those difficulties.
Save
Save And Return
Return
= Required
= Enter Once

Figure 57 -Part E: Implementation of Parts A and B of the Code

18. Navigate **to the Properties** dropdown menu , Select **Part F** from the menu

    a. Complete all mandatory fields, and select **Save** Save.

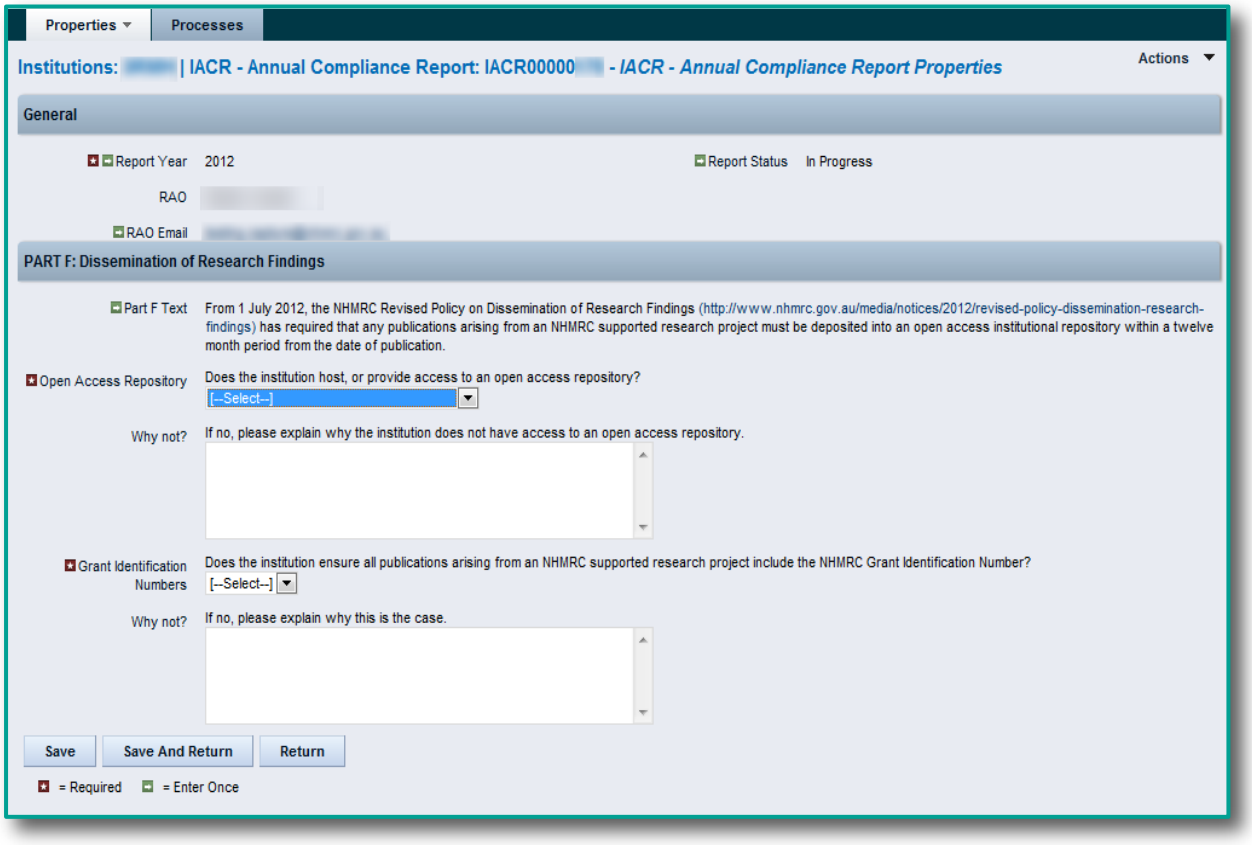

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
Actions
General
Report Year 2012
Report Status In Progress
RAO
RAO Email
PART F: Dissemination of Research Findings
Part F Text
From 1 July 2012, the NHMRC Revised Policy on Dissemination of Research Findings (http://www.nhmrc.gov.au/media/notices/2012/revised-policy-dissemination-research-findings) has required that any publications arising from an NHMRC supported research project must be deposited into an open access institutional repository within a twelve month period from the date of publication.
Open Access Repository
Does the institution host, or provide access to an open access repository?
[--Select--]
Why not?
If no, please explain why the institution does not have access to an open access repository.
Grant Identification Numbers
Does the institution ensure all publications arising from an NHMRC supported research project include the NHMRC Grant Identification Number?
[--Select--]
Why not?
If no, please explain why this is the case.
Save
Save And Return
Return
= Required
= Enter Once

Figure 58 - Part F: Dissemination of Research Findings

When all parts of the report are complete you will be able to submit the report. As mentioned above in the important note, you need to complete any additional links that appear under the **Properties** dropdown menu.

19. Select **RAO Certification** from the **Properties** dropdown menu and complete all mandatory fields**.**

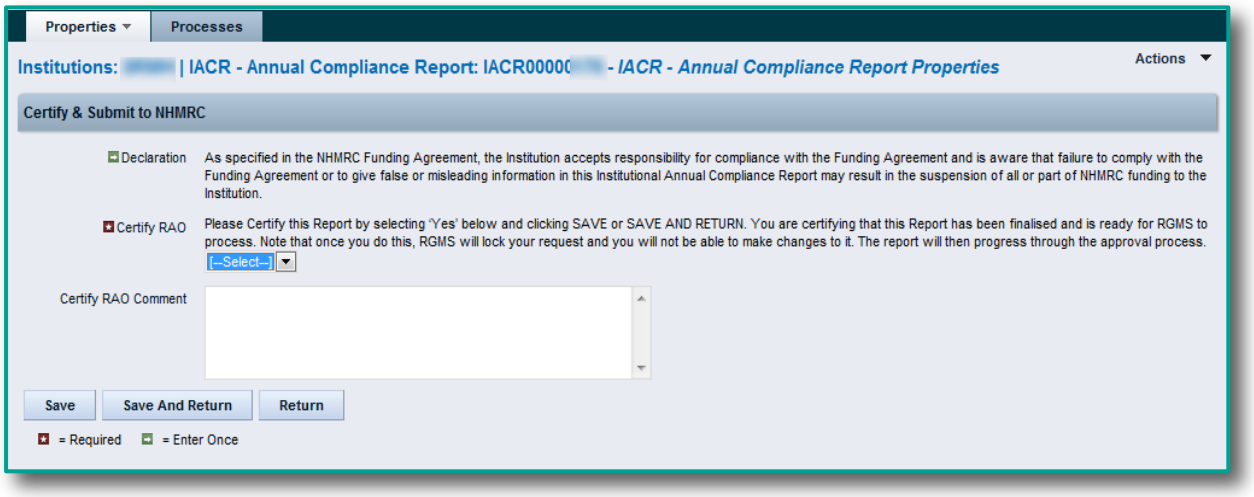

Properties
Processes
Institutions: | IACR - Annual Compliance Report: IACR00000 - IACR - Annual Compliance Report Properties
Actions
Certify & Submit to NHMRC
Declaration
As specified in the NHMRC Funding Agreement, the Institution accepts responsibility for compliance with the Funding Agreement and is aware that failure to comply with the Funding Agreement or to give false or misleading information in this Institutional Annual Compliance Report may result in the suspension of all or part of NHMRC funding to the Institution.
Certify RAO
Please Certify this Report by selecting 'Yes' below and clicking SAVE or SAVE AND RETURN. You are certifying that this Report has been finalised and is ready for RGMS to process. Note that once you do this, RGMS will lock your request and you will not be able to make changes to it. The report will then progress through the approval process.
--Select--
Certify RAO Comment
Save
Save And Return
Return
= Required
= Enter Once

Figure 59 -Certify and Submit to NHMRC

20. Select **Save and Return** Save And Return to complete your report and submit it to NHMRC.

4. Financial Reporting

FO

IMPORTANT NOTE

The information covered in this section is for Finance Officers' (FOs) and Chief Finance Officers' (CFOs) reference only. Grantees, Chief Investigators, or CIA and RAOs are not able to create or modify financial reports.

One requirement of accepting a NHMRC grant is that financial reports must be regularly submitted to NHMRC as stated in the relevant Deed of Agreement or Funding Agreement. This section outlines the process for uploading financial reports into RGMS.

This section will cover the following topics.

- Financial Reporting Process
- Financial Report Upload Template
- Uploading Financial Reports
    - Financial Report Upload File – Data Requirements
    - Uploading a Financial Report
    - Upload Error Handling
- Accessing Financial Reports
- How to attach supporting documentation into a Financial Report
- Cancelling a Financial Report
- Rejected Financial Reports
- Recertifying a Financial Report
    - Recertifying as the Finance Officer
    - Recertifying as the Chief Finance Officer

4.1. Financial Reporting Process

The two following diagrams provide an overview of the cycle of a financial report and details of the upload process. These diagrams are designed to help you understand the process of the **Financial Report Upload**.

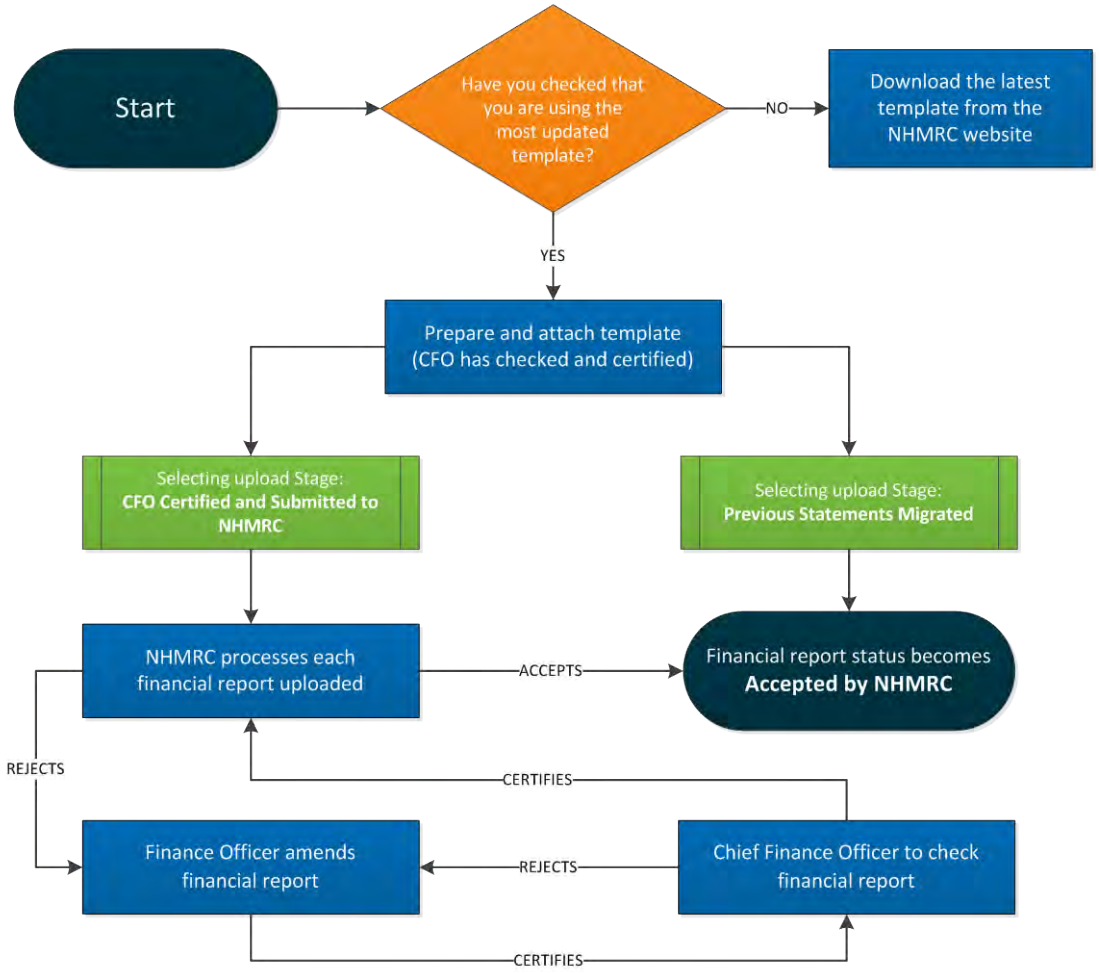

Start
Have you checked that you are using the most updated template?
NO
Download the latest template from the NHMRC website
YES
Prepare and attach template (CFO has checked and certified)
Selecting upload Stage: CFO Certified and Submitted to NHMRC
Selecting upload Stage: Previous Statements Migrated
NHMRC processes each financial report uploaded
ACCEPTS
Financial report status becomes Accepted by NHMRC
REJECTS
CERTIFIES
Finance Officer amends financial report
REJECTS
Chief Finance Officer to check financial report
CERTIFIES

Figure 60 -Entire Financial Reporting Process

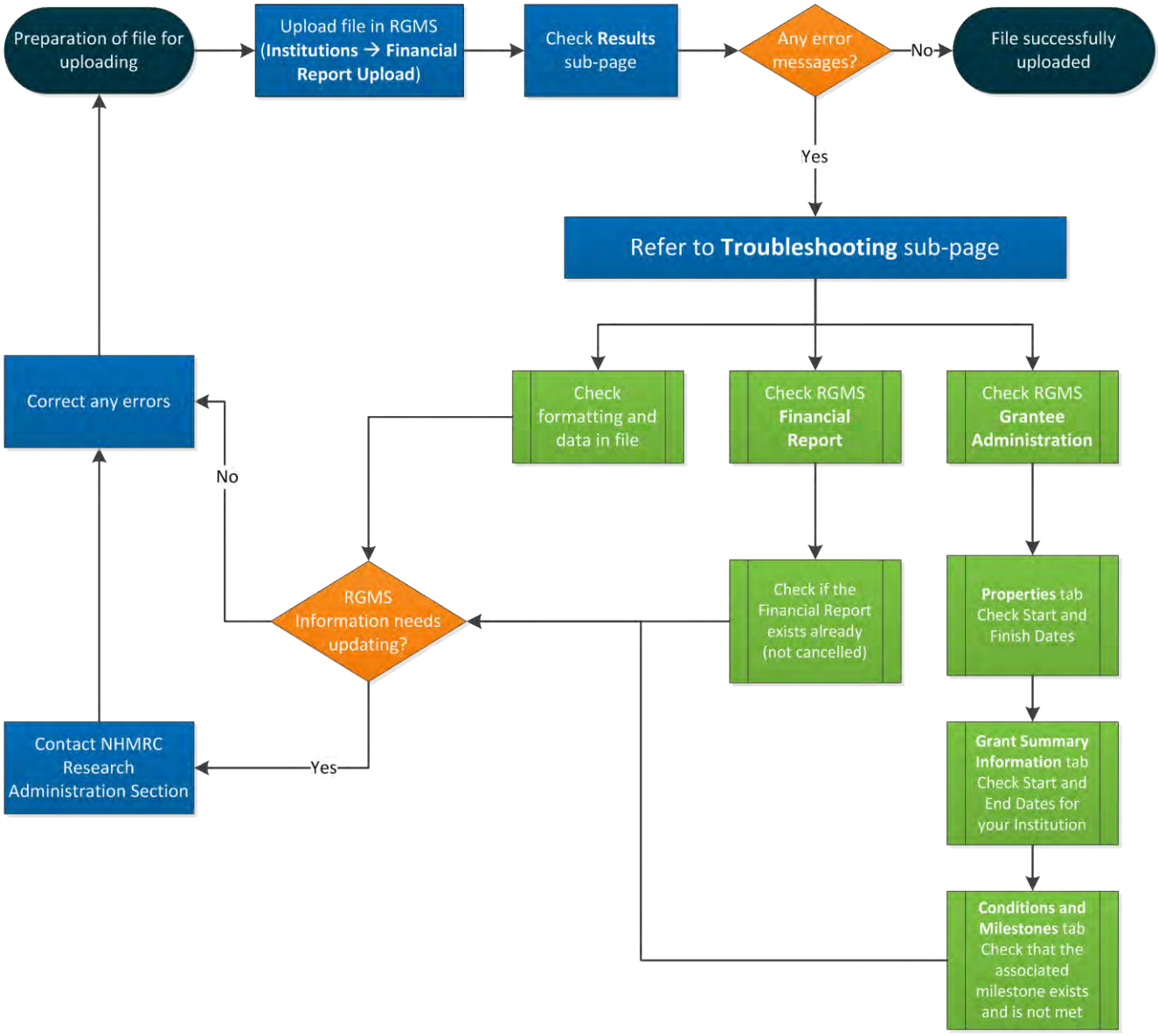

Preparation of file for uploading
Upload file in RGMS (Institutions → Financial Report Upload)
Check Results sub-page
Any error messages?
No
File successfully uploaded
Yes
Refer to Troubleshooting sub-page
Check formatting and data in file
Check RGMS Financial Report
Check RGMS Grantee Administration
Correct any errors
No
RGMS Information needs updating?
Check if the Financial Report exists already (not cancelled)
Properties tab Check Start and Finish Dates
Contact NHMRC Research Administration Section
Yes
Grant Summary Information tab Check Start and End Dates for your Institution
Conditions and Milestones tab Check that the associated milestone exists and is not met

Figure 61 -Financial Report Upload Process

4.2. Financial Report Upload Template

The most up-to-date **Financial Report Upload Template** can be located on the NHMRC website. Please ensure that the latest template is downloaded and used for uploading financial reports. Use of previous versions of the template will lead to upload failure or data imported into incorrect fields.

To access the template you can either:

- Navigate directly to the template using this link:

  http://www.nhmrc.gov.au/_files_nhmrc/file/grants/admin/FRU_2014_01_01_3.xls.

- Follow the steps below to navigate to the template.

1. Navigate to the NHMRC website at www.nhmrc.gov.au.
2. Under the **Grants and Funding** dropdown menu, select **Administering Grants**.

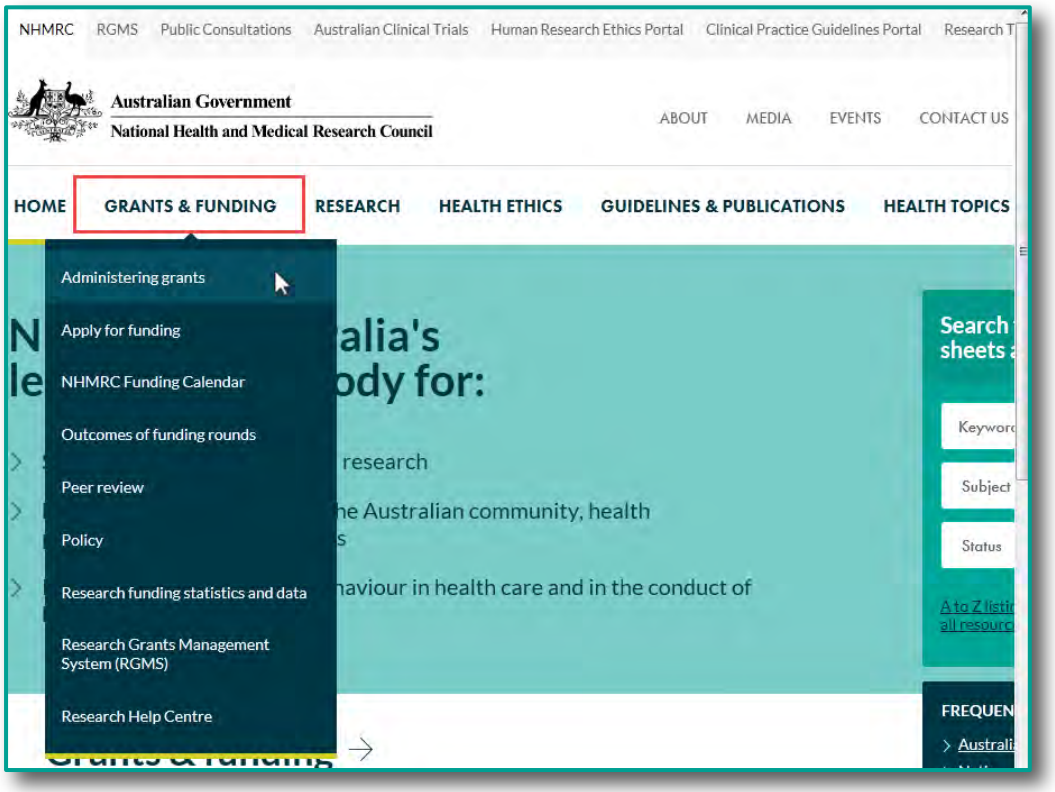


Figure 62 -NHRMC Website Grants Dropdown Menu

3. Scroll down the page and select click on the **Learn more about financial reporting** hyperlink.

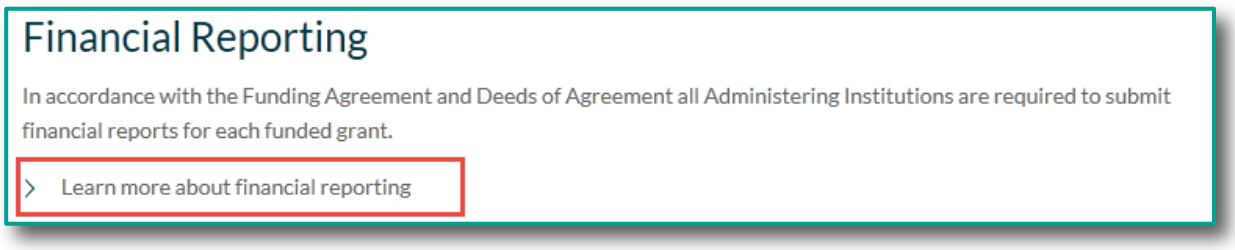

Financial Reporting
In accordance with the Funding Agreement and Deeds of Agreement all Administering Institutions are required to submit financial reports for each funded grant.
Learn more about financial reporting

Figure 63 -NHMRC Website Financial Reporting Heading

4. Select the **FRU_2014-01-01_3.xls (XLS, 24KB)** hyperlink to download the template.

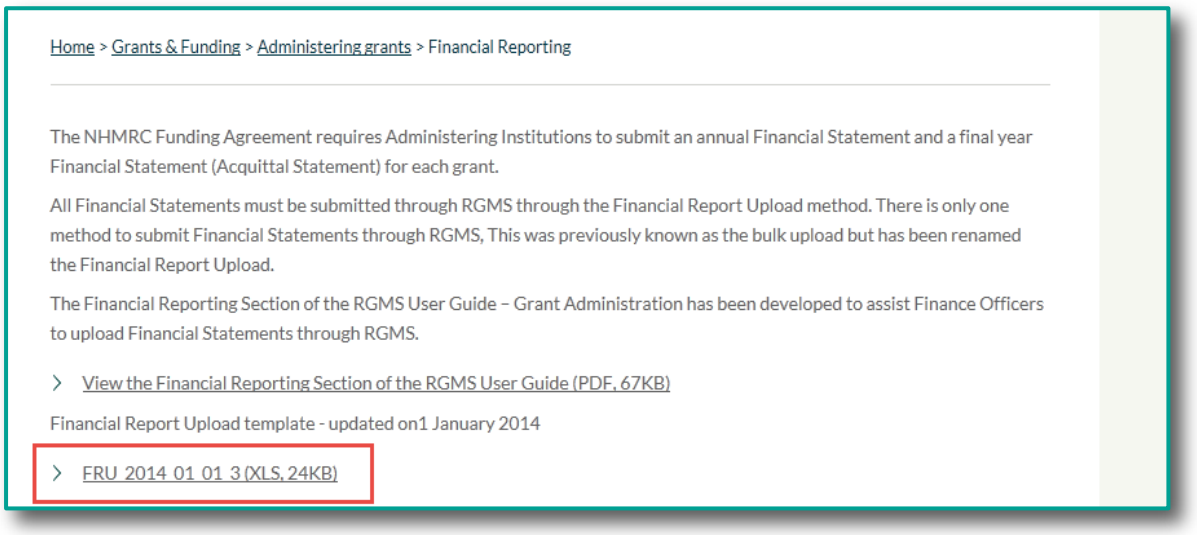

Home > Grants & Funding > Administering grants > Financial Reporting
The NHMRC Funding Agreement requires Administering Institutions to submit an annual Financial Statement and a final year Financial Statement (Acquittal Statement) for each grant.
All Financial Statements must be submitted through RGMS through the Financial Report Upload method. There is only one method to submit Financial Statements through RGMS, This was previously known as the bulk upload but has been renamed the Financial Report Upload.
The Financial Reporting Section of the RGMS User Guide – Grant Administration has been developed to assist Finance Officers to upload Financial Statements through RGMS.
View the Financial Reporting Section of the RGMS User Guide (PDF, 67KB)
Financial Report Upload template - updated on1 January 2014
FRU_2014_01_01_3 (XLS, 24KB)

Figure 64 -Accessing the Financial Reporting Template

Depending on your browser settings, you will be able to open and view the template or alternatively download the template for your use.

4.3. Uploading Financial Reports

Financial report upload allows an institution's finance officer (FO) to submit multiple financial reports of the same type and multiple reporting years at the same time. The following section details the rules and outlines the steps on how to successfully upload financial reports in RGMS.

Please ensure that the latest template is used or the upload may result in failure or values imported into incorrect fields, the link is provided in section **4.2 Financial Report Upload Template**.

Open the template and fill in the columns with the relevant information for each grant. You are able to leave fields blank if they do not apply.

There are only two columns in the template that are mandatory; these are the **NHMRC Grant Code** and **Reporting Year**. The mandatory columns are indicated in the template by an asterisk (*).

IMPORTANT NOTE

You must be logged in as the Finance Officer (FO) or Chief Finance Officer (CFO), to upload financial reports. These accounts have been provided to you by NHMRC. RAOs cannot upload financial reports. Contact the Research Help Centre if you require assistance with your RGMS account.

The columns on the template include:

NHMRC Grant Code	Enter the 10 character grant code, for example **GNT**1234567 when the grant number has 7 trailing digits or **GNT0**123456 when the grant has 6 trailing digits. Please ensure that no lower case letters are used (i.e. 'gnt1234567') and that there are no spaces between, before or after.
Reporting Year	You are able to enter the reporting year (4 digits: YYYY) for each row, which enables you to report on multiple years for multiple grants provided they are the same report type. This column improves the upload process efficiency in reducing the frequency of uploading financial reports by processing multiple reporting years. Note that if you wish you can continue to group all entries with the same reporting year.
Grant Income	Enter the grant income for the reporting year.
Interest on Funding for Period	From 1 January 2013 there is no longer a requirement for institutions to disclose interest earned on **any grant**. We have left this column for Institutions who wish to disclose interest. An upload will fail if negative interest is reported.
Funds Received from Transferring Institution	If applicable enter the amount of funds you have physically received from the previous Administering Institution for a grant that has transferred to your Institution.
Balance Brought Forward	If applicable enter the amount of funds brought forward from the previous annual financial statement. This figure must match the closing balance of the previous annual financial statement.
Salary & Allowances	Enter the amount spent on salary and allowances.
Scholarships & Stipends	Enter the amount spent on scholarships and stipends.

Research Supplies	Enter the amount spent on research supplies.
Travel & Conferences	Enter the amount spent on travel and conferences.
Consultants & Contractors	Enter the amount spent on consultants and contractors.
Expensed Assets (includes equipment items >$10,000)	Enter the amount spent on expensed assets.
Other Direct Research Costs	Enter the amount spent on other Direct Research Costs.
Funds Transferred to new Admin Institution	For a transfer acquittal, enter the amount of funds **already** transferred to the new Administering Institution, do not show this expenditure as a negative amount. NHMRC encourages direct institutional invoicing of unspent funds for transferring grants. **Do not** enter the funds you wish NHMRC to recover and redistribute to the new Administering Institution. If there is not a direct transfer of funds between Institutions, NHMRC will invoice the relinquishing Administering Institution if they have a closing balance above $20, to recover the unspent funds to send to the new Administering Institution.
Participating Institution Expenditure	If applicable enter any expenditure by participating institutions.
Funds returned to NHMRC	If applicable enter any funds that have previously been returned to NHMRC. Do not show this expenditure as a negative.
Carry Forward Amount $	Enter the funds you wish to carry forward into the next year.
Supporting Comments	Enter any supporting comments.
CIA Name	Enter the CIA's full name.
CFO Comments	Enter any Chief Finance CFO comments.
FO Comments	Enter any Finance Officer comments.
Your Institution Reference Code	This column enables you to enter your Institution Reference Code for the grant. This reference code will populate on the Properties page of the financial report inside RGMS. This is an optional field.

It is important to refer to the **Financial Report Upload** file information in the next section, **4.3.1 Financial Report Upload File – Data Requirements**, when entering your data in the template.

4.3.1. Financial Report Upload File – Data Requirements

The **Financial Report Upload** functionality requires the financial data to meet specific rules in order to upload successfully. The file that is to be uploaded must be a **tab delimited text file** and meet the following rules:

1. The upload file must not exceed 2Mb in size. NHMRC uses the commonly accepted definition (used in reference to computer memory) of 1Mb being equal to 1,048,576 bytes, therefore any file exceeding 2,097,152 bytes will not be accepted.
2. All fields can be empty except the **NHMRC Grant Code** and **Report Year** - the row will be skipped if these fields are empty.
3. No field may contain a tab character. Inclusion of tab characters will result in the data being inserted into the incorrect columns.
4. All monetary fields must not contain a comma separator. Failure to remove comma separators will cause non-calculation of carry forward percentages. The spreadsheet program may automatically add a comma. To avoid this format the cell as a *General* field.
5. NHMRC grant code must be exactly 10 characters long. If not, the row will be skipped.
6. Reporting year must be exactly 4 digits. If not, the row will be skipped.
7. If Microsoft Excel is used to prepare the file, all **Income** and **Expenditure** fields should be formatted to be in the General category. Choosing any other categories (i.e. Number) may result in an upload failure.
8. CIA name can have 100 characters. Anything longer will be truncated to 100 characters by the system.
9. All comments fields can have 2000 characters. Anything longer will be truncated to 2000 characters by the system.
10. Character lengths refer to all characters used and include hidden special characters including line feeds and carriage returns. The Microsoft Word character count does not include these characters.
11. Do not report every expenditure item as a negative figure.

IMPORTANT NOTE

Remember that an upload should be for ***one*** financial report type only, such as Acquittal Statements, Transfer Acquittals or Annual Financial Statements.

When you have entered your data in the template, select **Save As**, rename the file as you wish and select **Text (Tab delimited) (*.txt)** as the format in the **Save as type** field.

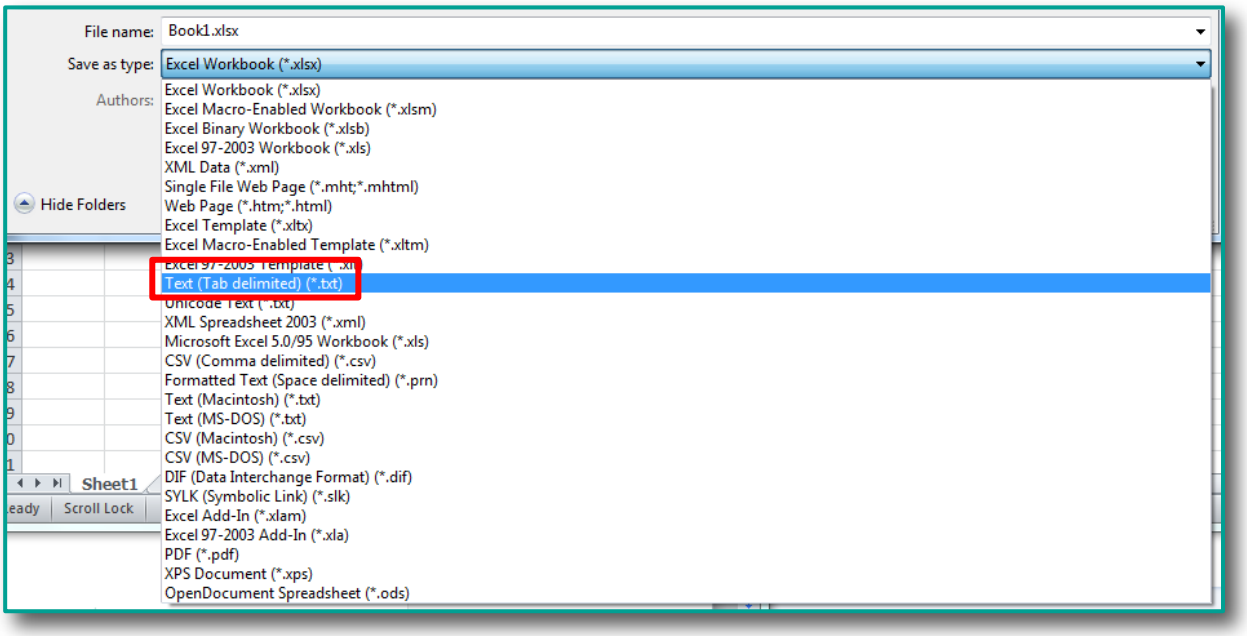


Figure 65 - Excel Save As Type Dropdown Menu

4.3.2. Uploading a Financial Report

To upload a financial report file:

1. From the RGMS Home page, click on the **RAO/Finance Officers** tab.
2. Select the **Institution Information** quicklink.

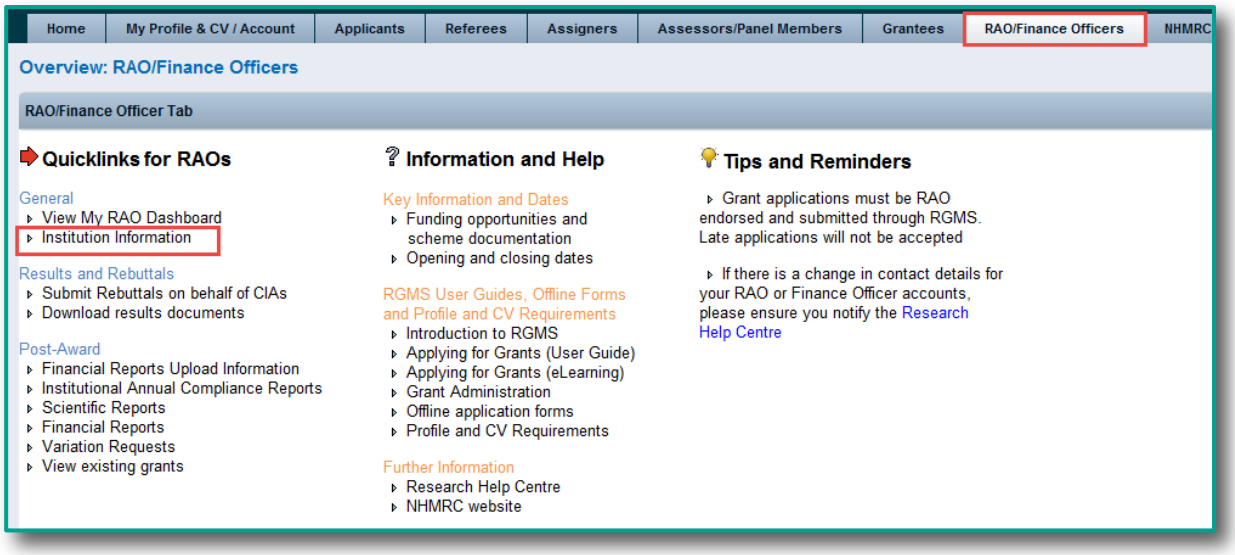


Figure 66 -Accessing the Institution Information Page

3. Select the **Properties Icon** or any of the blue hyperlinks to go into your institution.
4. Select the dropdown arrow on the **Properties Tab**.

5. Select the **Financial Report Upload** link from the **Properties** dropdown menu.

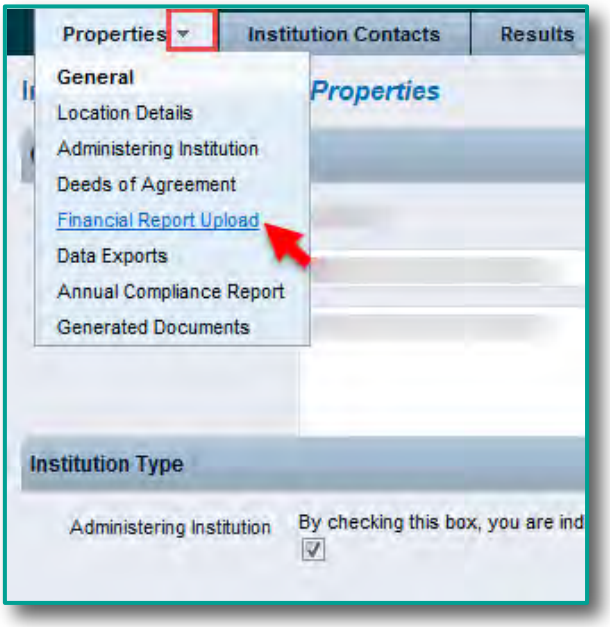


Figure 67 - Accessing the Financial Report Upload Page

Any previous financial report uploads will be listed in the **Financial Report Upload** list.

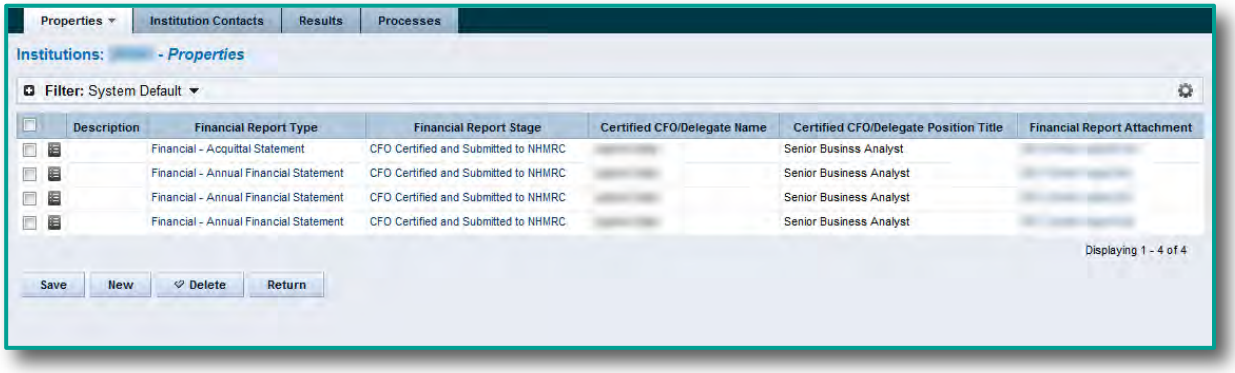
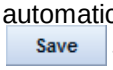


Figure 68 - Financial Reporting Upload Page

6. To start a new financial report upload select the **New** button at bottom left of page.

7. RGMS will generate the **Name** field automatically. This value is used to reference a particular financial report upload. Select **Save**  to continue.

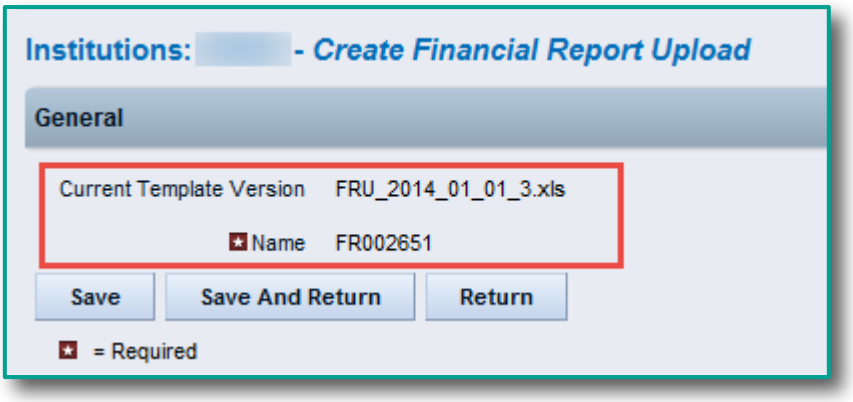


Figure 69 - Financial Report Name and ID Example

8. RGMS navigates to the **Financial Report Upload Properties: General** page. Enter the required data and select **Save** once.

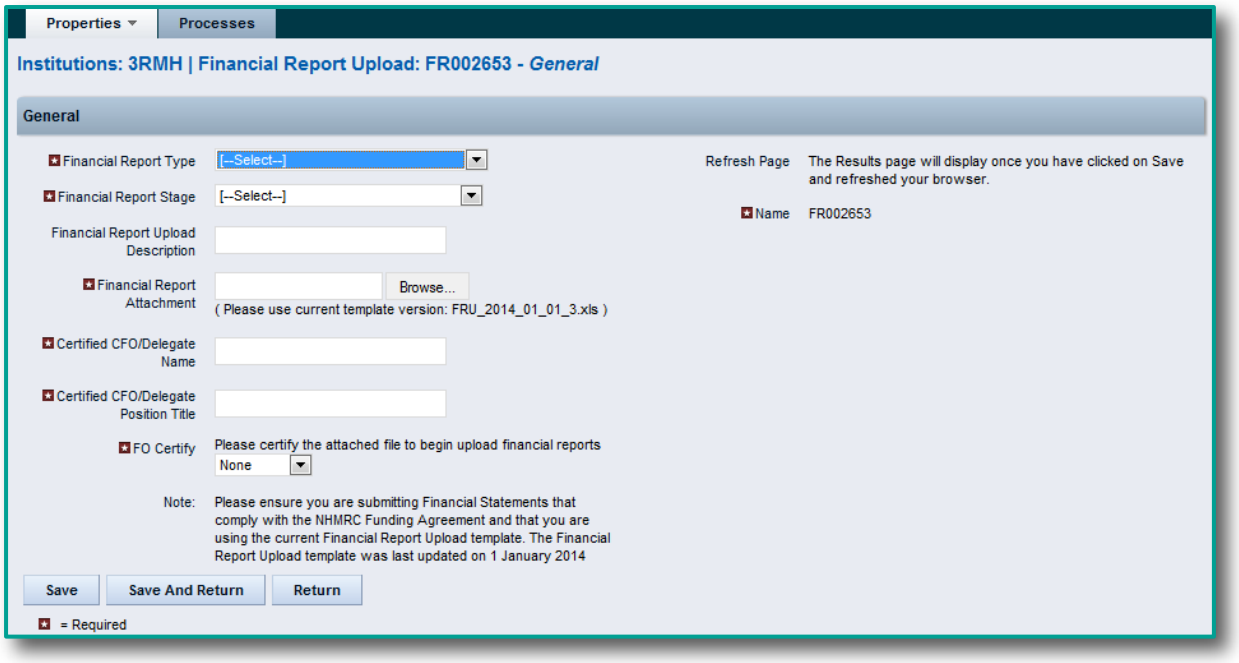

Properties
Processes
Institutions: 3RMH | Financial Report Upload: FR002653 - General
General
Financial Report Type
[--Select--]
Financial Report Stage
[--Select--]
Financial Report Upload Description
Financial Report Attachment
Browse...
(Please use current template version: FRU_2014_01_01_3.xls)
Certified CFO/Delegate Name
Certified CFO/Delegate Position Title
FO Certify
Please certify the attached file to begin upload financial reports
None
Note:
Please ensure you are submitting Financial Statements that comply with the NHMRC Funding Agreement and that you are using the current Financial Report Upload template. The Financial Report Upload template was last updated on 1 January 2014
Refresh Page
The Results page will display once you have clicked on Save and refreshed your browser.
Name
FR002653
Save
Save And Return
Return
= Required

Figure 76 – Financial Report Upload Properties: General Page

IMPORTANT NOTE

The **Financial Report Upload Description** field allows you to enter a description or relevant information that may provide a better institutional point of reference for the FO/CFO.

9. There are two options for **Financial Report Stage** dropdown menu:

   a. **CFO Certified and Submitted** – If this option is selected the report status becomes **Submitted to NHMRC** and an NHMRC Project Officer will receive email notification that this report is ready to be reviewed.
   b. **Previous Statements Migrated –** If this option is selected the report status automatically becomes **Accepted by NHMRC.** You are not able to upload Acquittal Statements with this financial report stage. This upload type is to be used to efficiently upload historic data that NHMRC has **previously** received (the milestone has already been met by a financial report which is not yet in RGMS).

10. Select the **Browse** Browse... button to navigate to and attach the prepared financial report file.

> IMPORTANT NOTE
>
> Only attach one **tab delimited text file (*.txt)** per upload. No other file type will be recognised by RGMS for the purposes of uploading financial reports.

11. Enter the name and position title of the CFO (or Delegate). By providing this information NHMRC will deem the financial reports listed in the prepared financial report upload file as certified by the CFO (or Delegate).

12. Once you have completed all the fields, select **Certified** from the **FO Certify** dropdown menu and select **Save** Save. This will initiate the upload process. Do not select **Save** and then **Save and Return** as this will stop the background upload process from successfully uploading.

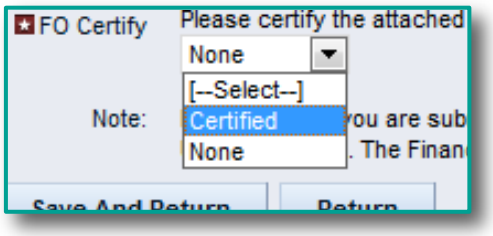


Figure 70 - FO Certify dropdown Menu

13. **Refresh** your browser until the **Results** link appears in the **Properties** dropdown menu and then select the **Results** link.

Properties
Processes
Institutions: | Financial Report Upload: FR001724 - Financial Report Upload Properties
General
Financial Report Type
Financial - Annual Financial Statement
Financial Report Stage
CFO Certified and Submitted to NHMRC
Financial Report Upload Description
Financial Report Attachment
2013 nhmrc report.txt
(Please use current template version: FRU_2014_01_01_3.xls)
Certified CFO/Delegate Name
Certified CFO/Delegate Position Title
Senior Business Analyst
FO Certify
Please certify the attached file to begin upload financial reports
Certified
Note:
Please ensure you are submitting Financial Statements that comply with the NHMRC Funding Agreement and that you are using the current Financial Report Upload template. The Financial Report Upload template was last updated on 1 January 2014
Refresh Page
The Results page will display once you have clicked on Save and refreshed your browser.
Name
FR001724
Save
Save And Return
Return
= Required
= Locked by Process

Figure 71 - Financial Report Upload Properties page

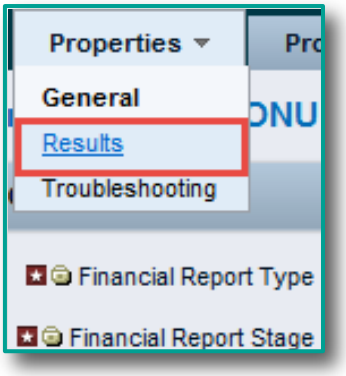


Figure 72 - Accessing the Results Page

IMPORTANT NOTE

You must check the **Results** sub-page to ensure your upload has been successful. Clicking the **Open File** icon will only open the file in that field.

Any errors for individual records are reported on the **Results** page under **Properties** dropdown menu.

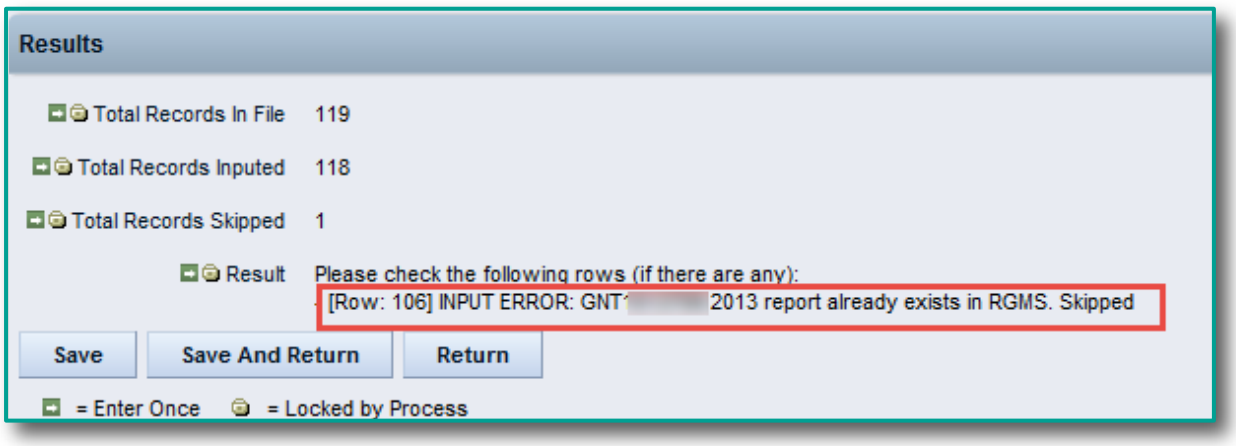

Results
Total Records In File 119
Total Records Inputed 118
Total Records Skipped 1
Result Please check the following rows (if there are any):
[Row: 106] INPUT ERROR: GNT 2013 report already exists in RGMS. Skipped
Save
Save And Return
Return
= Enter Once
= Locked by Process

Figure 73 - Financial Upload Results Page

In **Figure 78**, 118 of the financial reports were accepted and one was skipped. For the one that was skipped, refer to the error messages to amend the report. You will need to do a new upload to submit the skipped report.

14. If there are any errors refer to the **Troubleshooting** link by selecting the **Properties dropdown menu** . The **Troubleshooting** page contains an explanation of every possible error message.

IMPORTANT NOTE

There must only be one financial report upload instance active at a time. Before you create another upload, review the **Results** page of any existing financial report instances to ensure they have finished. If more than one instance is active at one time the details of the financial report upload page will be mixed and incorrect.

4.3.3. Upload Error Handling

The table below is a reference for you to identify the cause of an error when uploading a financial report. This table is located on the **Troubleshooting** page. Identify the error message in the **Error Message** column below, and refer to the **Description and Action** column for more details on the cause and how to resolve the error.

Error Message	Description and Action
-- [Row: #] INPUT ERROR: Grant Code missing. Skipped	The first column is empty. Check column A. This column is used to retrieve the grant code
-- [Row: #] INPUT ERROR: Grant Code is not 10 characters. Skipped	There is incorrect formatting of the Grant Code in column A. Check the formatting and ensure that there are 10 characters and no spaces exist (example: GNT0123456)
-- [Row: #] INPUT ERROR: GNT#######'s Reporting Year not 4 digits: YYYY. Skipped	There is incorrect formatting for the Reporting Year. Check the value in column B. This is used to retrieve value for the Reporting Year. Check formatting, ensure that there are exactly 4 digits
-- [Row: #] INPUT ERROR: Acquittal statement for GNT####### cannot be uploaded with Previous Statements Migrated. Skipped	Upload the Final Acquittal statement with CFO Certified and Submitted to NHMRC stage.
-- [Row: #] INPUT ERROR: Grant GNT####### does not exist in RGMS. Skipped	The Grant does not exist in RGMS. Check the grant code and verify in RGMS via Grantee Admin
-- [Row: #] INPUT ERROR: Final Acquittal Report for GNT####### is earlier than an existing report year. Skipped	Check the Final Acquittal report year and the reporting year of any other financial reports for GNT#######. The Final Acquittal report year cannot be earlier than the reporting year of any existing financial report for GNT#######.
-- [Row: #] INPUT ERROR: GNT#######'s YYYY report already exists in RGMS. Skipped	A report for GNT#######'s YYYY already exists in RGMS. Check the financial reports in RGMS via Financial Report (menu) for GNT####### and with Reporting Year YYYY
-- [Row: #] INPUT ERROR: Institution does not own GNT####### in reporting year YYYY. Skipped	Your Institution does not own GNT#######. Check in RGMS via Grantee Administration (menu) -> Grant Summary Information (tab) -> Grant Institution History (section) -> Start Date & End Date
-- [Row: #] INPUT ERROR: No associated Milestone exists for GNT####### in financial year: YYYY. Skipped	There is no associated Milestone available to match this report. Check in RGMS via Grantee Administration (menu) -> Conditions and Milestones (tab) -> Grant Milestones (section) -> Type, Due Date, Date Met

4.4. Accessing Financial Reports

There may be the need to refer to a financial report after it has been submitted. The instructions below illustrate how to access an uploaded financial report.

1. Navigate to the RGMS Home page.
2. Select the **RAO/Finance Officers** tab.
3. Select the **Financial Reports** quicklink.

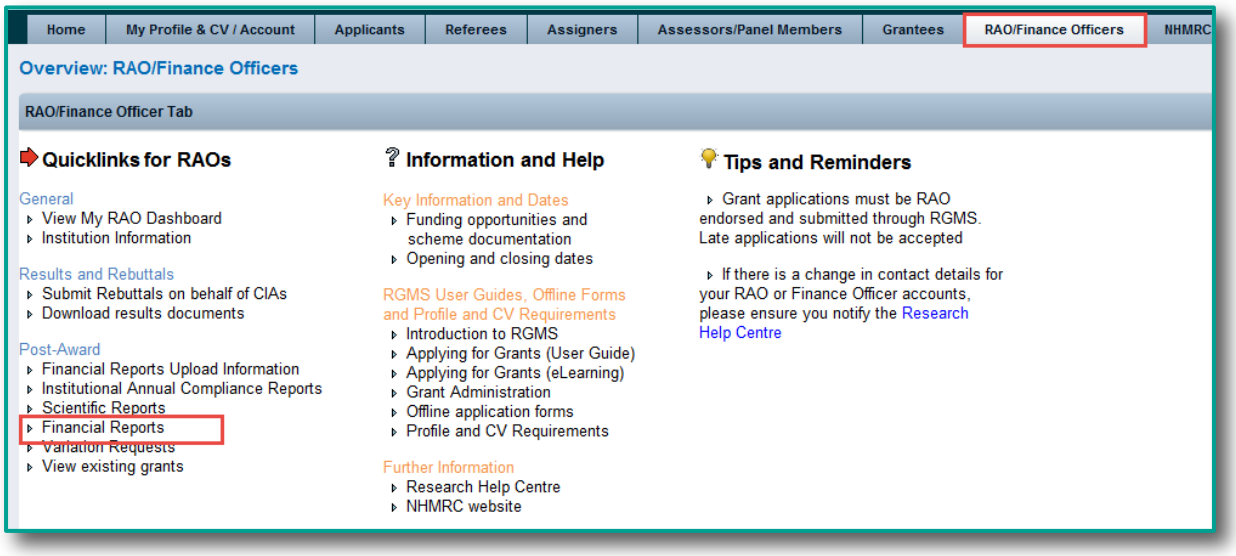


Figure 74 - Accessing the Financial Reports Page

4. You are able to narrow the results displayed in the list by using the filters.

IMPORTANT NOTE

Select the **Expand Filter** to display the filter options to search for the relevant report (in **Error! Reference source not found.**81).

For further information on how to apply, clear, save and manage Filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

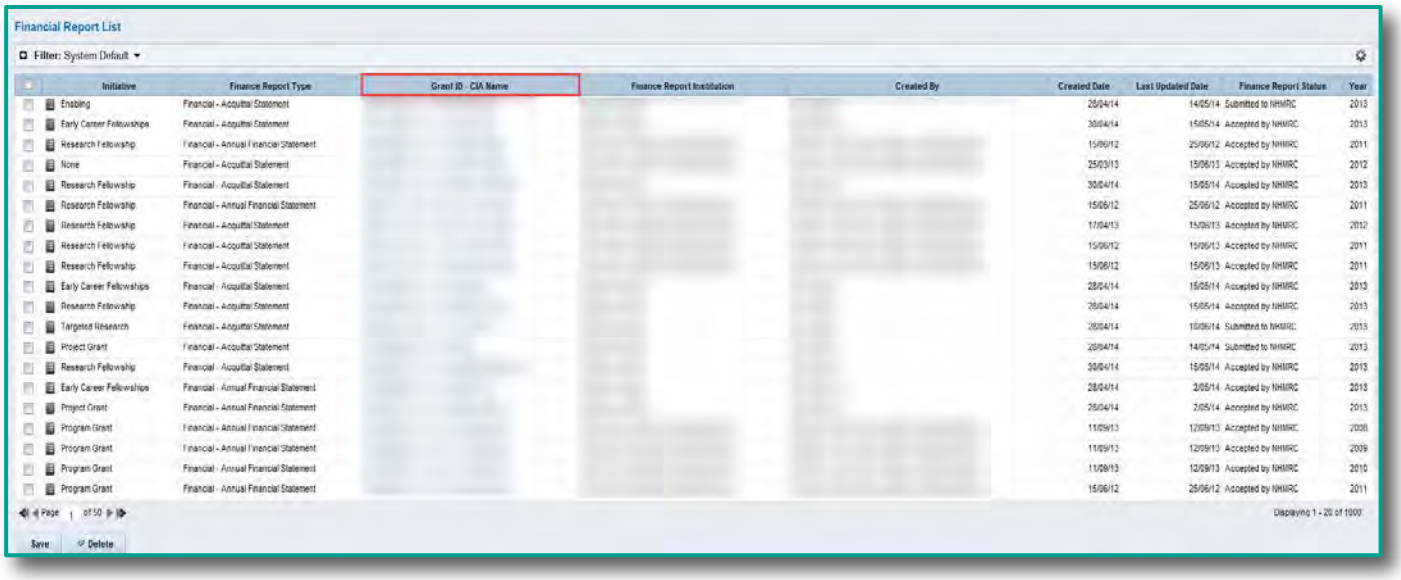


Figure 75 - Financial Report List

5. To access a grant select the **Properties** icon or click on the hyperlink in the **Grant ID – CIA Name** column.

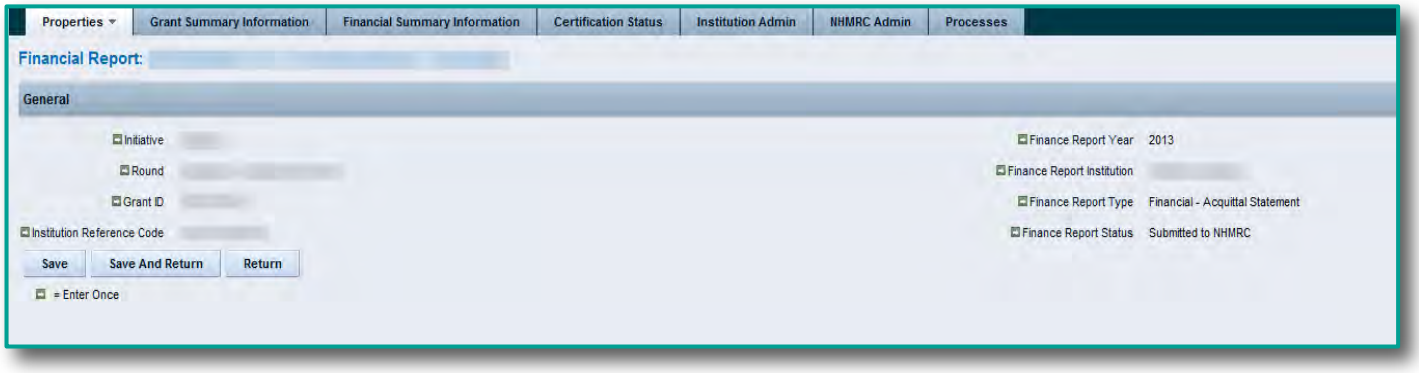


Figure 76 - Financial Report Example

Along the top of the page is a set of tabs to access information relevant to the financial report. These tabs include:

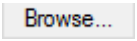
- **Properties** – Contains general report information along with the values retrieved from the uploaded file.
- **Grant Summary Information** – Provides access to a brief overview of the grant details.

- **Financial Summary Information** – Provides a breakdown of the grants financial information for each year reported.
- **Certification Status** – This tab provides an overview of the progress of the financial report.
- **Institution Admin –** This tab can be used to cancel a financial report.
- **NHMRC Admin** – This page is used by NHMRC staff to complete the NHMRC administrative functions for this financial report.
- **Processes** – This tab is not utilised and should be disregarded.

4.5. How to attach supporting documentation into a Financial Report

It is necessary to attach supporting documentation into financial reports, such as acquittal statements and transfer acquittals, to ensure the entire funding period is reported on.

Once the report is uploaded into RGMS you will need to access each individual report to attach the relevant supporting documentation. **The field to attach documentation is only locked once the financial report has been accepted by NHMRC.**

1. Navigate to the financial report. For further information refer to section **6.4 Accessing Financial Reports**.
2. Select the **Properties** tab and then the **Financial Statement Detail** link.
3. The **Supporting Information** section at the bottom of this page is where you upload supporting documents.
4. Select the **Browse** 

button to navigate to and attach the supporting documents.
5. Select **Save**

once.
6. When the file has successfully uploaded, use the **Browse**

button to attach additional files. You can attach up to five documents in total.

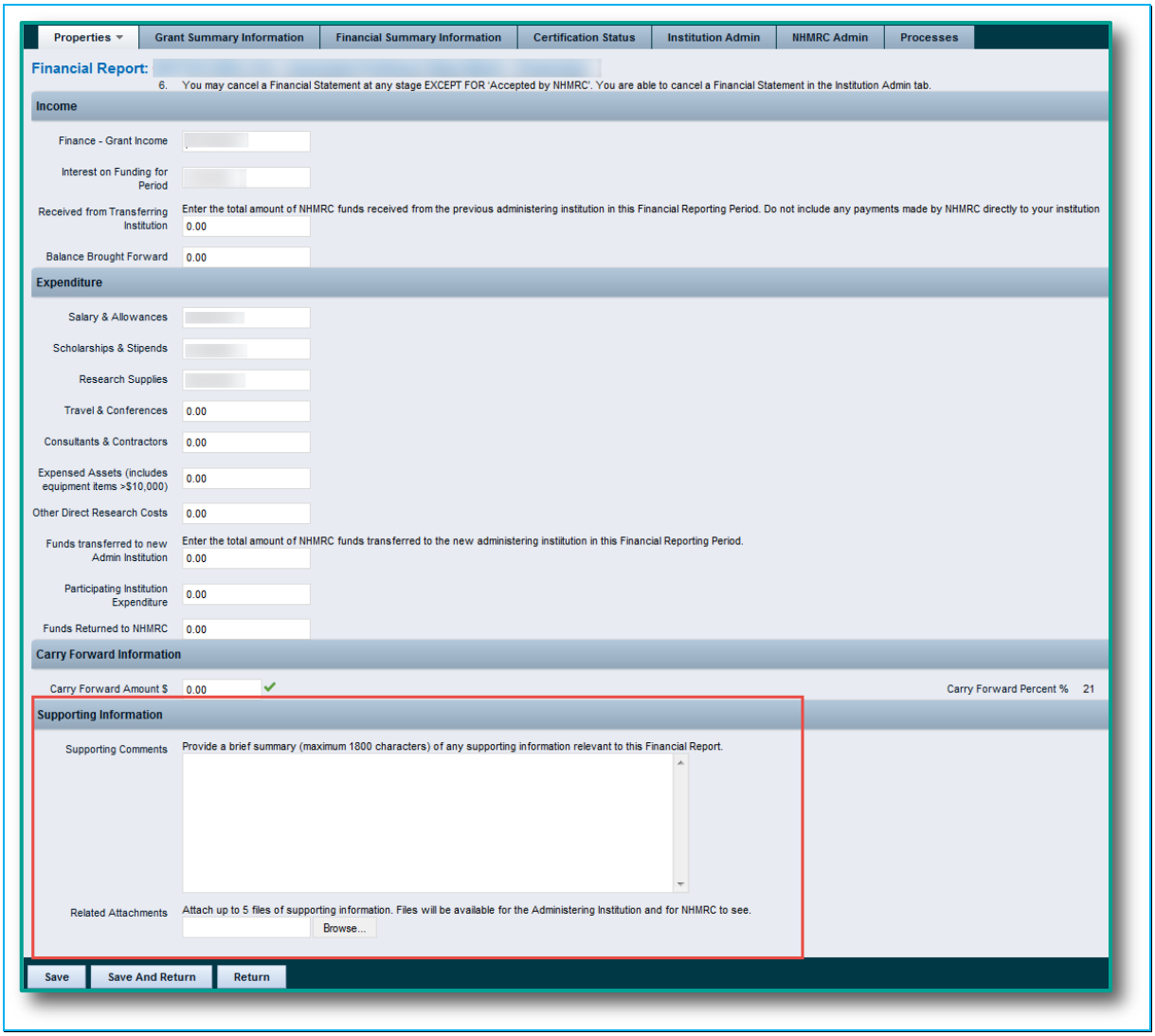

Properties
Grant Summary Information
Financial Summary Information
Certification Status
Institution Admin
NHMRC Admin
Processes
Financial Report:
6. You may cancel a Financial Statement at any stage EXCEPT FOR 'Accepted by NHMRC'. You are able to cancel a Financial Statement in the Institution Admin tab.
Income
Finance - Grant Income
Interest on Funding for Period
Received from Transferring Institution
Enter the total amount of NHMRC funds received from the previous administering institution in this Financial Reporting Period. Do not include any payments made by NHMRC directly to your institution
0.00
Balance Brought Forward
0.00
Expenditure
Salary & Allowances
Scholarships & Stipends
Research Supplies
Travel & Conferences
0.00
Consultants & Contractors
0.00
Expensed Assets (includes equipment items >$10,000)
0.00
Other Direct Research Costs
0.00
Funds transferred to new Admin Institution
Enter the total amount of NHMRC funds transferred to the new administering institution in this Financial Reporting Period.
0.00
Participating Institution Expenditure
0.00
Funds Returned to NHMRC
0.00
Carry Forward Information
Carry Forward Amount $
0.00
Carry Forward Percent %
21
Supporting Information
Supporting Comments
Provide a brief summary (maximum 1800 characters) of any supporting information relevant to this Financial Report.
Related Attachments
Attach up to 5 files of supporting information. Files will be available for the Administering Institution and for NHMRC to see.
Browse...
Save
Save And Return
Return

Figure 77 - Attaching Supporting Documents

4.6. Cancelling a Financial Report

If a financial report needs to be cancelled, either the FO or the CFO can complete the following steps:

1. Navigate to the financial report. For further information refer to section **4.4 Accessing Financial Reports.**
2. Select the **Institution Admin** tab.
3. Select the **Cancel Financial Report** link from the **Institution Admin** dropdown ▾ menu.

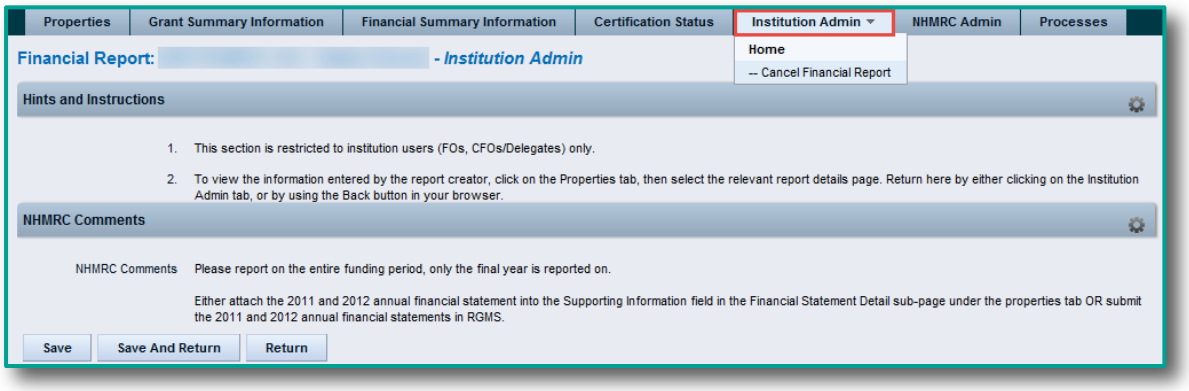

Properties
Grant Summary Information
Financial Summary Information
Certification Status
Institution Admin
NHMRC Admin
Processes
Home
-- Cancel Financial Report
Financial Report:
- Institution Admin
Hints and Instructions
1. This section is restricted to institution users (FOs, CFOs/Delegates) only.
2. To view the information entered by the report creator, click on the Properties tab, then select the relevant report details page. Return here by either clicking on the Institution Admin tab, or by using the Back button in your browser.
NHMRC Comments
NHMRC Comments
Please report on the entire funding period, only the final year is reported on.
Either attach the 2011 and 2012 annual financial statement into the Supporting Information field in the Financial Statement Detail sub-page under the properties tab OR submit the 2011 and 2012 annual financial statements in RGMS.
Save
Save And Return
Return

Figure 78 -Accessing the Cancel Financial Report Page

Select **Yes** from the **Cancel Financial Report** dropdown menu.

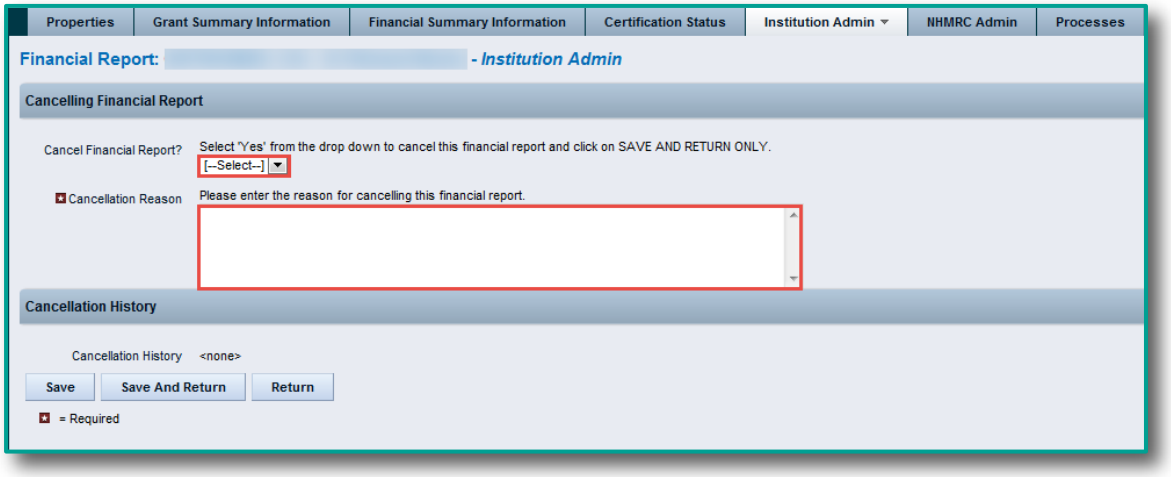


Figure 79 - Cancelling Financial Report Page

4. In the **Cancellation Reasons** field enter relevant comments, this field is mandatory

5. Select **Save** Save to save your data and remain on the page (refresh your browser to update the **Cancellation History** field). Alternatively, select **Save and Return** Save And Return to save your data and return back to the Financial Report List page.

For more information about the differences between save and save and return refer to section **3.9 Save, Save and Return and Return** in the RGMS User Guide – Introduction to RGMS (Research Community).

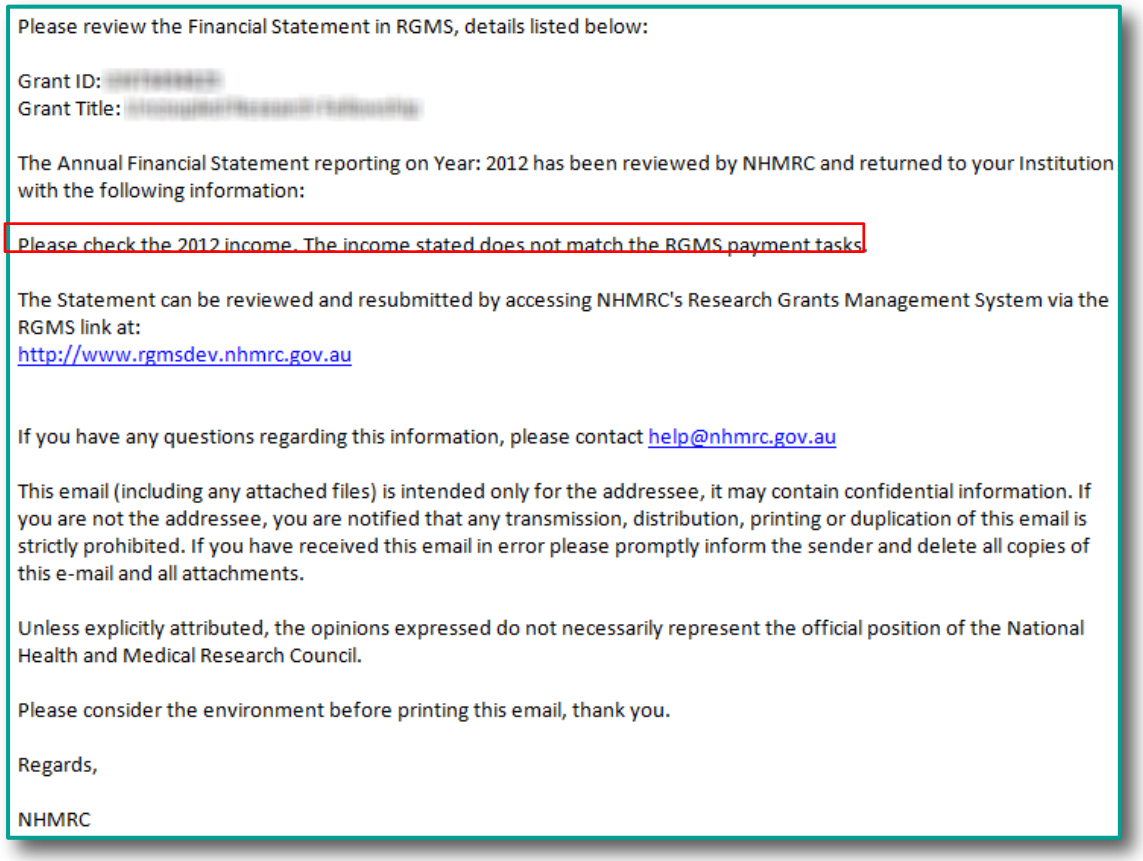
The financial report status will update to **Cancelled** and the **Cancellation History** field will be populated when the background process is complete.

IMPORTANT NOTE

A financial report can be cancelled at any status prior to acceptance by NHMRC. If the financial report has been 'Accepted' by NHMRC and is required to be cancelled then please email postaward.management@nhmrc.gov.au with your request and reason.

4.7. Rejected Financial Reports

If NHMRC rejects a financial report, the NHMRC's comments are included in the automated email that is sent to the FO. These comments are also made available on the home page of the **Institution Administration** page under the **NHMRC Comments** section.



Please review the Financial Statement in RGMS, details listed below:

Grant ID:
Grant Title:

The Annual Financial Statement reporting on Year: 2012 has been reviewed by NHMRC and returned to your Institution with the following information:

Please check the 2012 income. The income stated does not match the RGMS payment tasks.

The Statement can be reviewed and resubmitted by accessing NHMRC's Research Grants Management System via the RGMS link at:
http://www.rgmsdev.nhmrc.gov.au

If you have any questions regarding this information, please contact help@nhmrc.gov.au

This email (including any attached files) is intended only for the addressee, it may contain confidential information. If you are not the addressee, you are notified that any transmission, distribution, printing or duplication of this email is strictly prohibited. If you have received this email in error please promptly inform the sender and delete all copies of this e-mail and all attachments.

Unless explicitly attributed, the opinions expressed do not necessarily represent the official position of the National Health and Medical Research Council.

Please consider the environment before printing this email, thank you.

Regards,

NHMRC

Figure 80 - Financial Report Return Email to Financial Officer

Properties
Grant Summary Information
Financial Summary Information
Certification Status
Institution Admin
NHMRC Admin
Processes
Financial Report:
Hints and Instructions
1. This section is restricted to institution users (FOs, CFOs/Delegates) only.
2. To view the information entered by the report creator, click on the Properties tab, then select the relevant report details page. Return here by either clicking on the Institution Admin tab, or by using the Back button in your browser.
NHMRC Comments
NHMRC Comments Please state all income intended for the year 2013, including the December 2013 payments made in January 2014. Please see NHMRC email sent 2/05/2014.
Save
Save And Return
Return

Figure 81 - Financial Report NHMRC Return Comments

4.8. Recertifying a Financial Report

If a financial report has been '***Returned to Finance'*** you may choose to cancel the report and, if required, submit a new report. Alternatively, you may amend the report, recertify and submit the report to NHMRC.

When a financial report is at the status '***Returned to Finance'***, the **Income, Expenditure** and **Carry Forward** fields on the **Financial Statement Detail** page are unlocked.

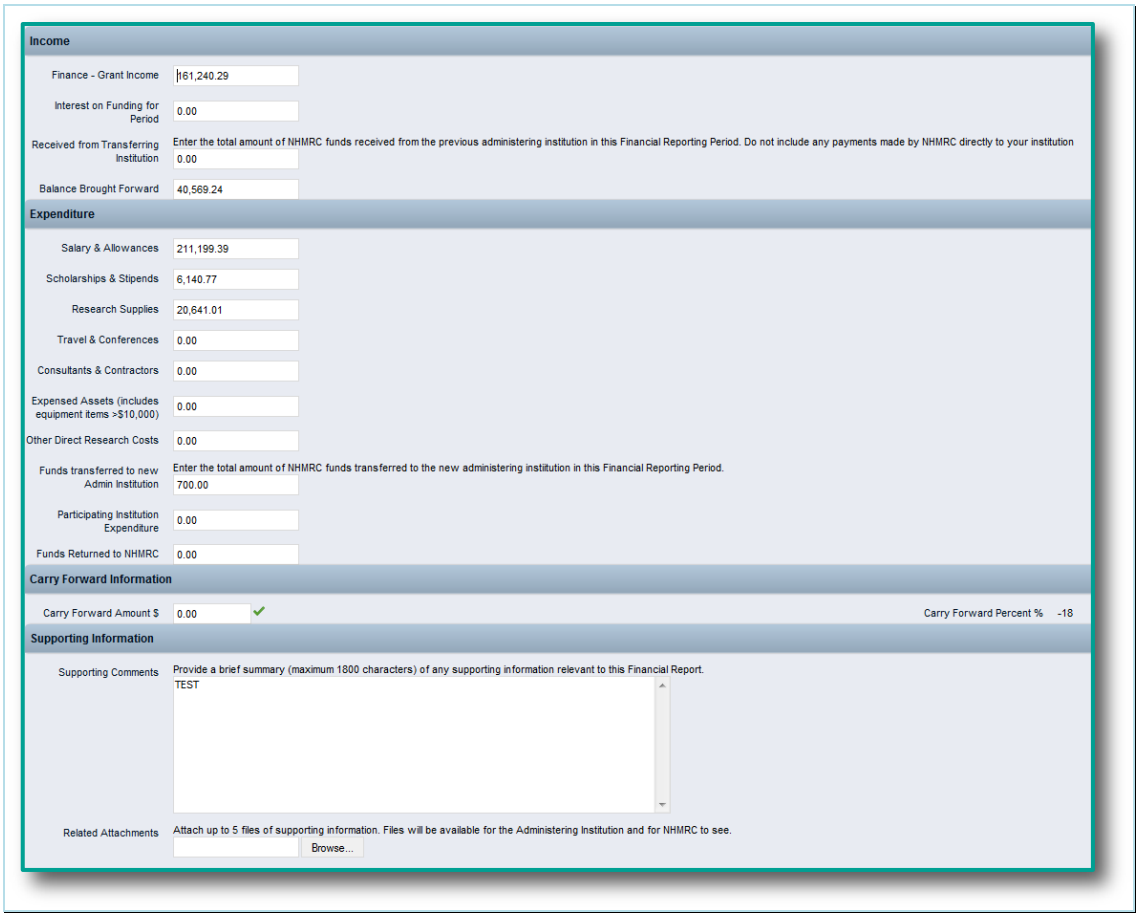

Income
Finance - Grant Income
161,240.29
Interest on Funding for Period
0.00
Received from Transferring Institution
Enter the total amount of NHMRC funds received from the previous administering institution in this Financial Reporting Period. Do not include any payments made by NHMRC directly to your institution
0.00
Balance Brought Forward
40,569.24
Expenditure
Salary & Allowances
211,199.39
Scholarships & Stipends
6,140.77
Research Supplies
20,641.01
Travel & Conferences
0.00
Consultants & Contractors
0.00
Expensed Assets (includes equipment items >$10,000)
0.00
Other Direct Research Costs
0.00
Funds transferred to new Admin Institution
Enter the total amount of NHMRC funds transferred to the new administering institution in this Financial Reporting Period.
700.00
Participating Institution Expenditure
0.00
Funds Returned to NHMRC
0.00
Carry Forward Information
Carry Forward Amount $
0.00
Carry Forward Percent %
-18
Supporting Information
Supporting Comments
Provide a brief summary (maximum 1800 characters) of any supporting information relevant to this Financial Report.
TEST
Related Attachments
Attach up to 5 files of supporting information. Files will be available for the Administering Institution and for NHMRC to see.
Browse...

Figure 82 - Income, Expenditure and Carry Forward Fields Unlocked Example

Refer to the comments provided by NHMRC to guide you in amending the financial report.

Once you have amended the financial report you may recertify the report as the FO. The CFO will be notified and will be required to certify the report.

4.8.1. Recertifying as the Finance Officer

To recertify the report, the FO will need to:

1. Navigate to the **Properties** tab and select the **Certify & Submit** link.

2. Select **Certify** from the **Report Submission** dropdown ▼ field. If applicable enter any comments in the **Submission Comment** section.

3. Select **Save** Save to save your data and remain on the page. Alternatively click on **Save and Return** Save And Return to save your data and return back to the **Financial Report** List.

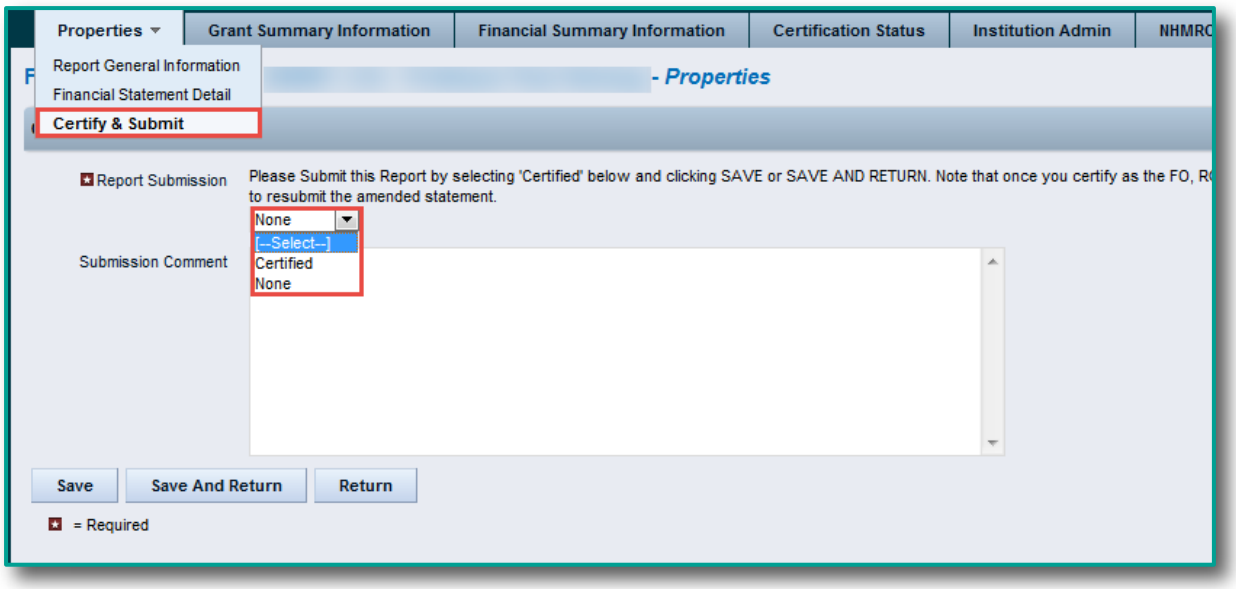


Figure 83 - Finance Officer Certify and Submit Page

4.8.2. Recertifying as the Chief Finance Officer

The CFO will receive an email notification to certify the financial report after the FO has certified.

If the CFO does not accept the report they are able to reject the report. If the CFO rejects the report, the FO will need to amend the information and recertify the report in order to progress it to the CFO.

To certify the report, the CFO will need to:

1. Navigate to the Institution Admin tab and select the CFO/Delegate Approval and Certification link.
2. Confirm that the details for the CFO in the Certifying Officer Details section are correct. Amend these details as required.
3. Select Certify from the CFO Approval dropdown field. If applicable enter any comments in the Certify/Reject CFO Comment section.

1. Select **Save and Return** Save And Return. The financial report status will now change to '***Submitted to NHMRC'*** and NHMRC will be notified to review the report.

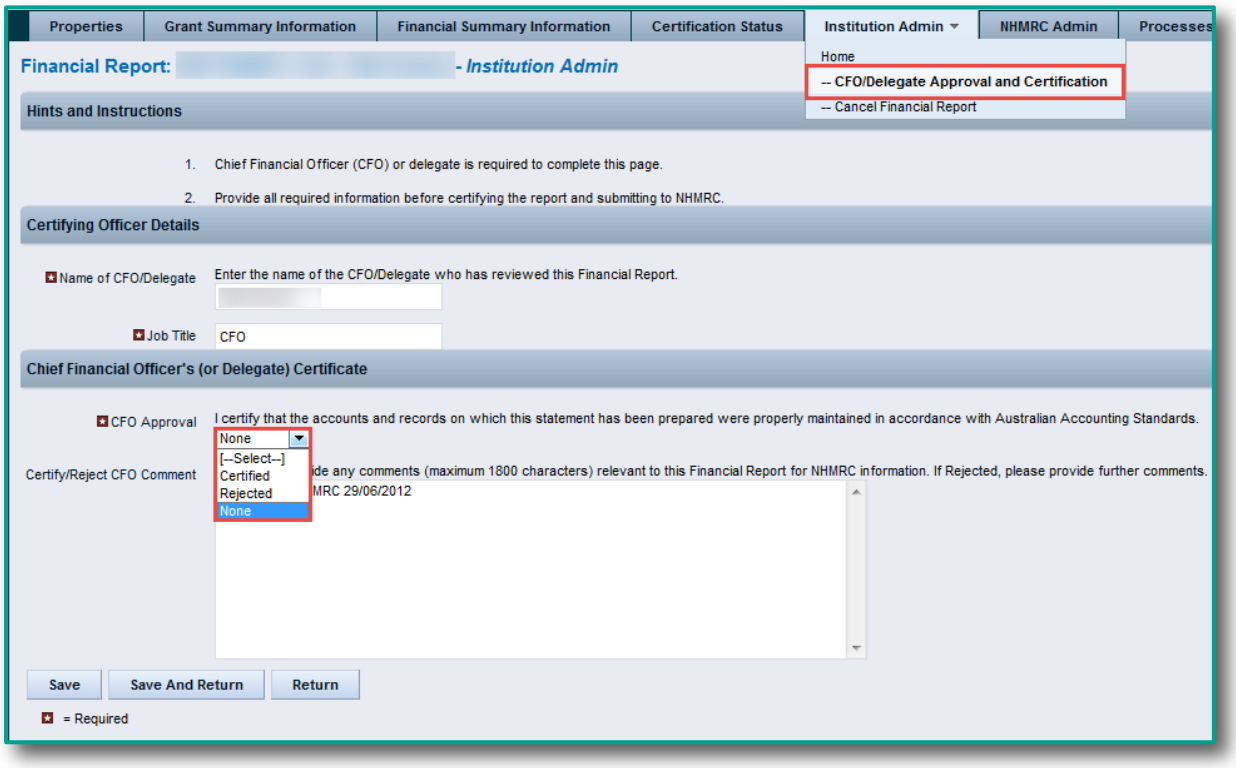

Properties
Grant Summary Information
Financial Summary Information
Certification Status
Institution Admin
NHMRC Admin
Processes
Financial Report: - Institution Admin
Home
-- CFO/Delegate Approval and Certification
-- Cancel Financial Report
Hints and Instructions
1. Chief Financial Officer (CFO) or delegate is required to complete this page.
2. Provide all required information before certifying the report and submitting to NHMRC.
Certifying Officer Details
Name of CFO/Delegate
Enter the name of the CFO/Delegate who has reviewed this Financial Report.
Job Title
CFO
Chief Financial Officer's (or Delegate) Certificate
CFO Approval
I certify that the accounts and records on which this statement has been prepared were properly maintained in accordance with Australian Accounting Standards.
None
[--Select--]
Certified
Rejected
None
Certify/Reject CFO Comment
de any comments (maximum 1800 characters) relevant to this Financial Report for NHMRC information. If Rejected, please provide further comments.
MRC 29/06/2012
Save
Save And Return
Return
= Required

Figure 84 - CFO/Delegate Approval and Certification Page

IMPORTANT NOTE

The **Certify and Submit** and **CFO/Delegate Approval and Certification** page links will only appear inside a financial report that has been ***Returned to Finance***.

5. Final Report

Under the Funding Agreement, the Administering Institution must ensure that a final report for each grant is prepared by the Chief Investigator (CIA) and is submitted to NHMRC by the date specified in the relevant Funding Rules. This section outlines the steps required for a CIA to create, edit and submit a Final Report in RGMS.

Figure 85 - Final Reporting Process

5.1. Accessing the Final Reports Page

In order to be able to complete the required Final Report you need to be able to access the **Final Reports** page.

1. From the RGMS home page, select the **Grantees** tab.
2. Select the **Final Reports** Quicklink.

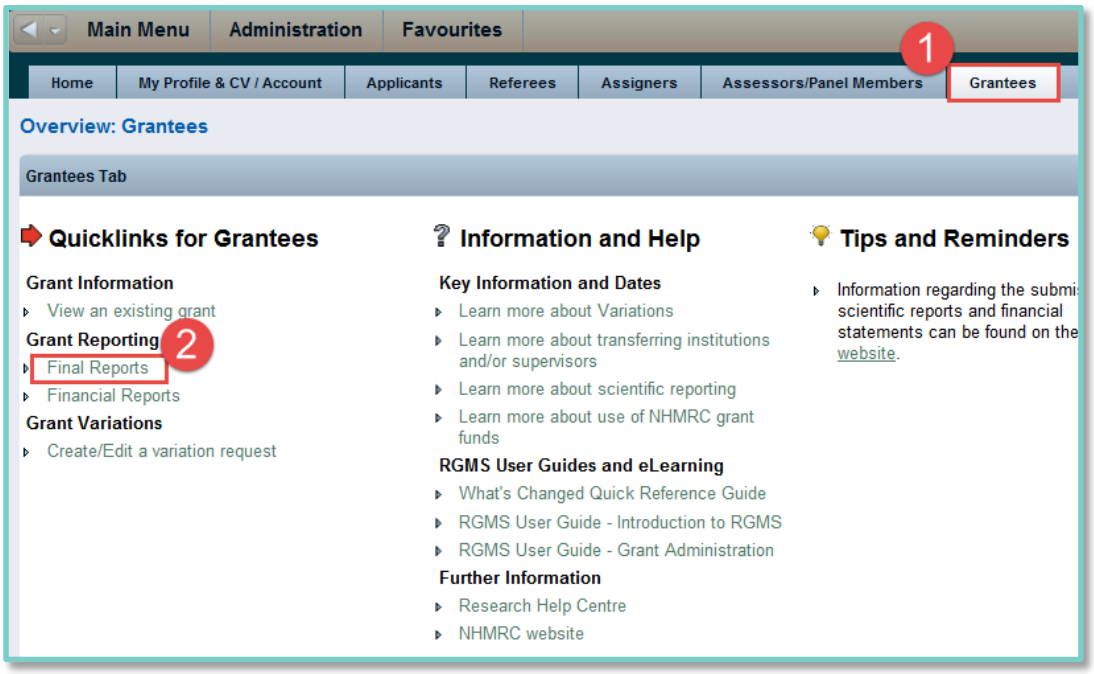


Figure 86 – Accessing the Final Report Page

Or, Via the Main Menu

Figure 87 – Accessing the Final Report Page

5.2. Creating a Final Report

To create a new **Final Report**:

1. From the Final Report Listing page select the **New Final Report** button.

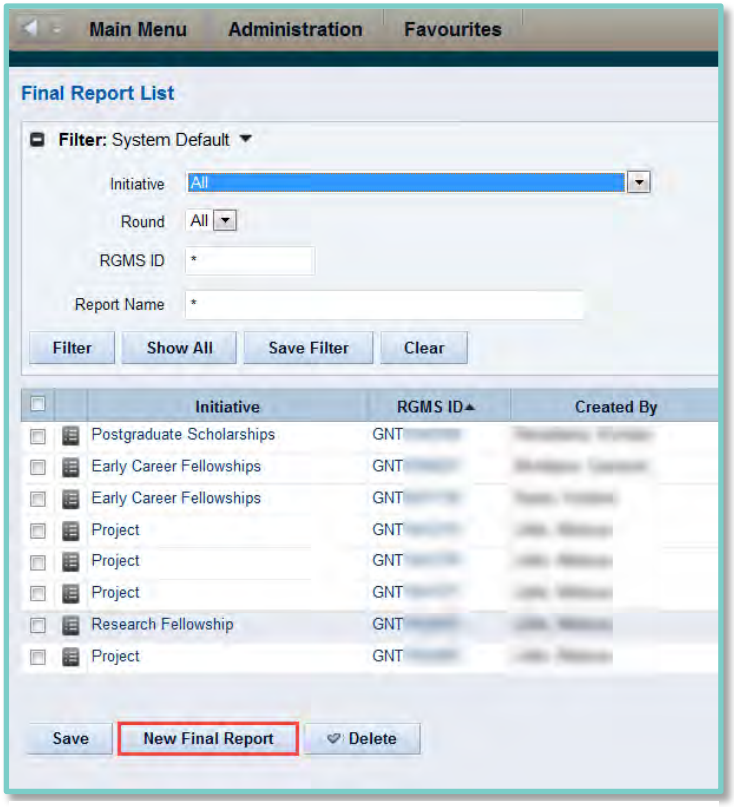


Figure 88 - Creating a New Final Report

2. Enter the **Grant ID** directly into the **RGMS Grant ID** lookup field using the auto lookup function or by selecting the binoculars icon to display a list of grants where you are listed as CIA.

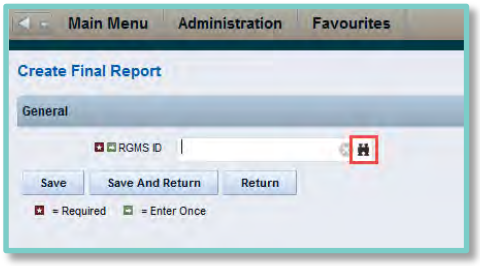
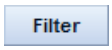


Figure 89 - Creating a New Final Report

For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

3. Use the fields and Filter  button or select from the list of your Grants

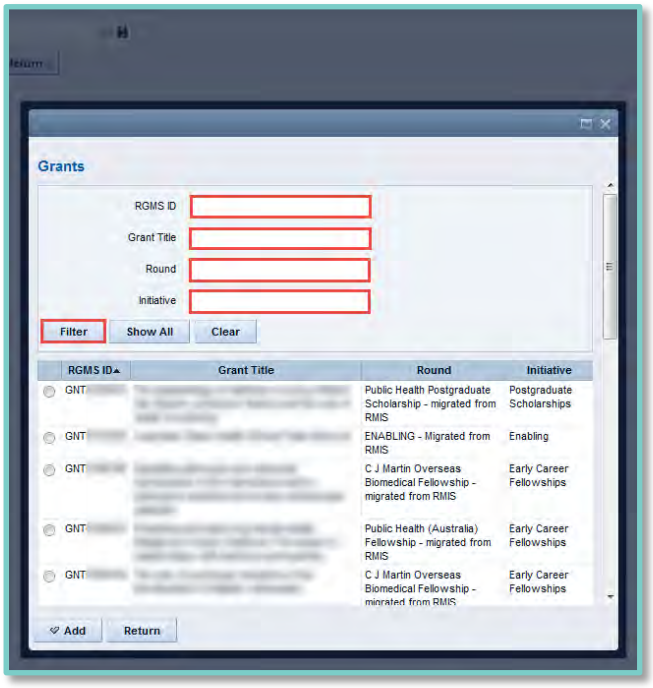
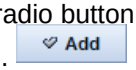


Figure 90 – Filtering and Selecting the Grant

4. Select the radio button of the Grant for which you are creating a Final Report and click the **Add** button. 

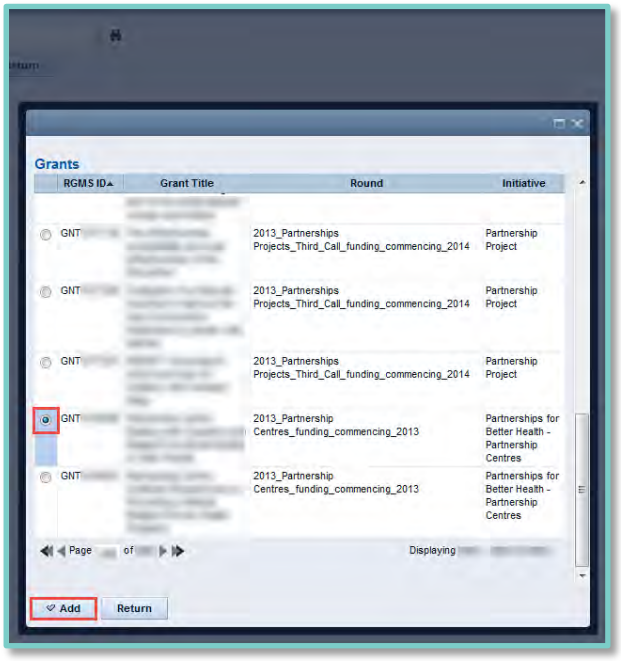


Figure 91 - Adding Your Grant Details

5. You are returned to the Create Final report page with the RGMS ID now populated. Click **Save** to continue.

Figure 92 - RGMS ID Populated

6. On the screen that presents after saving your Grant ID in the previous step, select the Properties dropdown icon ▼ and then the Research Achievements Summary item.

Figure 93 - Selecting Research Achievements Summary (Final Report)

7. Select **Save** Save to save your data and remain on the page. Alternatively, select **Save and Return** Save And Return to complete the process and return you to the **Final Report** page.

For more information about the differences between **Save and, Save and Return** refer to section 3.9 Save, Save and Return and Cancel in the RGMS User Guide – Introduction to RGMS (Research Community).

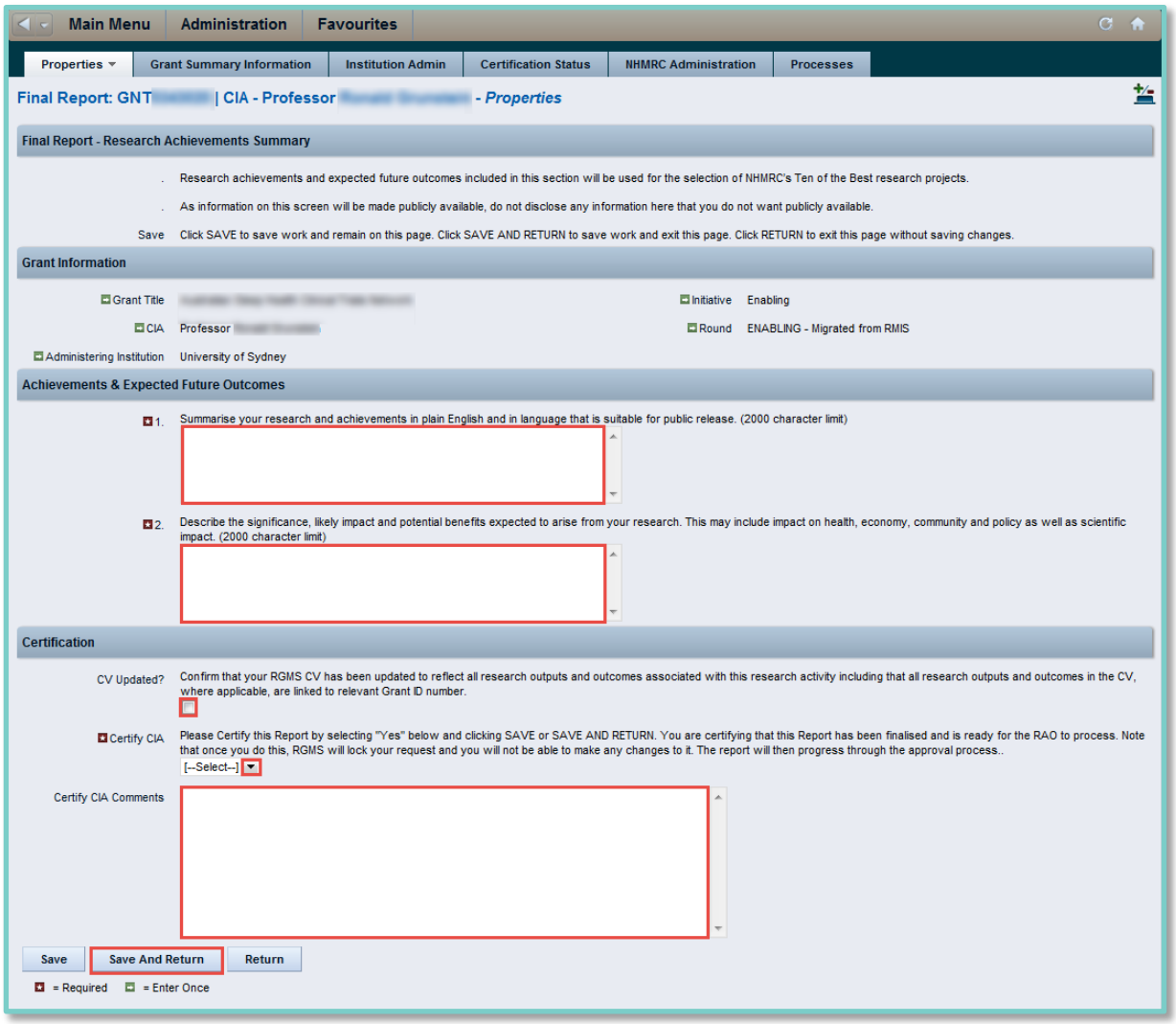
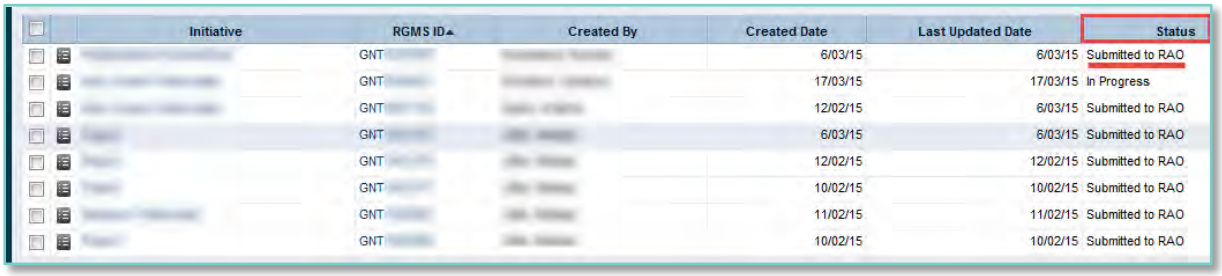

Main Menu
Administration
Favourites
Properties
Grant Summary Information
Institution Admin
Certification Status
NHMRC Administration
Processes
Final Report: GNT | CIA - Professor - Properties
Final Report - Research Achievements Summary
Research achievements and expected future outcomes included in this section will be used for the selection of NHMRC's Ten of the Best research projects.
As information on this screen will be made publicly available, do not disclose any information here that you do not want publicly available.
Save
Click SAVE to save work and remain on this page. Click SAVE AND RETURN to save work and exit this page. Click RETURN to exit this page without saving changes.
Grant Information
Grant Title
Initiative
Enabling
CIA
Professor
Round
ENABLING - Migrated from RMIS
Administering Institution
University of Sydney
Achievements & Expected Future Outcomes
1.
Summarise your research and achievements in plain English and in language that is suitable for public release. (2000 character limit)
2.
Describe the significance, likely impact and potential benefits expected to arise from your research. This may include impact on health, economy, community and policy as well as scientific impact. (2000 character limit)
Certification
CV Updated?
Confirm that your RGMS CV has been updated to reflect all research outputs and outcomes associated with this research activity including that all research outputs and outcomes in the CV, where applicable, are linked to relevant Grant ID number.
Certify CIA
Please Certify this Report by selecting "Yes" below and clicking SAVE or SAVE AND RETURN. You are certifying that this Report has been finalised and is ready for the RAO to process. Note that once you do this, RGMS will lock your request and you will not be able to make any changes to it. The report will then progress through the approval process..
--Select--
Certify CIA Comments
Save
Save And Return
Return
= Required
= Enter Once

Figure 94 - The Body of the Final Report & CIA Certification

IMPORTANT NOTE

If you have Certified the Final Report in the CIA Certification section, you will lock the form and it will no longer be available for editing.

Your Final Report is now available to your RAO for RAO Certification



Initiative	RGMS ID	Created By	Created Date	Last Updated Date	Status
	GNT		6/03/15	6/03/15	Submitted to RAO
	GNT		17/03/15	17/03/15	In Progress
	GNT		12/02/15	6/03/15	Submitted to RAO
	GNT		6/03/15	6/03/15	Submitted to RAO
	GNT		12/02/15	12/02/15	Submitted to RAO
	GNT		10/02/15	10/02/15	Submitted to RAO
	GNT		11/02/15	11/02/15	Submitted to RAO
	GNT		10/02/15	10/02/15	Submitted to RAO

5.3. Accessing a Final Report

When a new Final Report is created you may need to access it for future reference or to view the content. To open an existing final report:

1. Navigate to the **Final Report** page, for further information refer to section **5.1 Accessing the Final Reports** Page.
2. To open a Final Report, select the hyperlink in either the **RGMS ID** or **Report Type** column.

If there are multiple reports on this page you can narrow the results by using the Filters. For further information on how to apply, clear, save and manage Filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

Along the top of the page is a set of tabs to access information relevant to the Scientific Report. These tabs include:

- **Properties** – Provides access to the subpage Research Achievements Summary as well as providing an overview of the Final Report details.
- **Grant Summary Information** – Provides access to a brief overview of the grant details.
- **Institution Admin** – This is the page that provides the access for RAO to complete the institutional certification of the Final Report.
- **Certification Status** – This page provides an overview of the progress the Final Report has made.
- **Generated Documents** – This page can be used to extract a Portable Document Format file (PDF) of the final report. The PDF of the report is created at the point the Final Report is submitted to NHMRC by the RAO.
- **NHMRC Administration** – This page is used by NHMRC staff to complete the NHMRC administrative functions for this Scientific Report.
- **Processes** – This tab is not utilised and should be disregarded.

5.4. Modifying a Final Report

Final Reports cannot be modified once they have been submitted for RAO Certification. At any stage prior to committing the report to the RAO for certification by ticking the CIA Certification checkbox, edits to the fields are available and selecting **Save** will save the changes

The next step to submit a Final Report is to enter in the data for the report. This can be done by accessing the newly created Final Report and entering the data in the fields provided. These steps can also be used to modify a rejected report.

Navigate to the relevant Final Report. For further information on how to access a **Final Report** refer to **section 5.3**.

1. On the **Properties** tab for the Final Report is a dropdown ▾ menu. This menu is used to access the page that needs to be completed for the Final Report.

Main Menu
Administration
Favourites
Properties
Grant Summary Information
Institution Admin
Certification Status
NHMRC Administration
Processes
General
Research Achievements Summary
- Properties
Hints & Instructions
In accordance with the NHMRC Funding Agreement, the end of grant reporting must be completed within six months of completion
includes a) the completion of Final Report Research Achievements Summary; and b) updating the RGMS CV by linking the relevar

Figure 95 - Input Final Report Details

2. Complete each of the pages relevant to the Final Report and select **Save** Save to save your work and continue.

5.5. CIA Certification and Submission of Final Reports

After creating a new Final Report in RGMS and completing the relevant entries, follow the steps below:

1. Select the **CIA Certify** dropdown ▾ , select **Yes** and click **Save.**

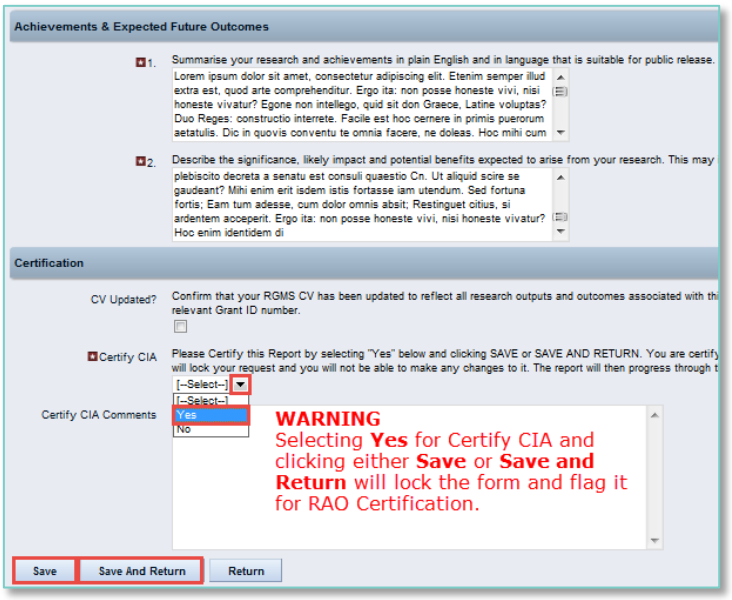

Achievements & Expected Future Outcomes
1. Summarise your research and achievements in plain English and in language that is suitable for public release.
Lorem ipsum dolor sit amet, consectetur adipiscing elit. Etenim semper illud extra est, quod arte comprehenditur. Ergo ita: non posse honeste vivi, nisi honeste vivatur? Egone non intellego, quid sit don Graece, Latine voluptas? Duo Reges: constructio interrete. Facile est hoc cernere in primis puerorum aetatulis. Dic in quovis conventu te omnia facere, ne doleas. Hoc mihi cum
2. Describe the significance, likely impact and potential benefits expected to arise from your research. This may
plebiscito decreta a senatu est consuli quaestio Cn. Ut aliquid scire se gaudeant? Mihi enim erit isdem istis fortasse iam utendum. Sed fortuna fortis; Eam tum adesse, cum dolor omnis absit; Restinguet citius, si ardentem acceperit. Ergo ita: non posse honeste vivi, nisi honeste vivatur? Hoc enim identidem di
Certification
CV Updated?
Confirm that your RGMS CV has been updated to reflect all research outputs and outcomes associated with th
relevant Grant ID number.
Certify CIA
Please Certify this Report by selecting "Yes" below and clicking SAVE or SAVE AND RETURN. You are certify
will lock your request and you will not be able to make any changes to it. The report will then progress through t
[--Select--]
[--Select--]
Yes
No
Certify CIA Comments
WARNING
Selecting Yes for Certify CIA and clicking either Save or Save and Return will lock the form and flag it for RAO Certification.
Save
Save And Return
Return

Figure 96 - Select the CIA Certify Dropdown

2. If required, provide a comment in the **Certify CIA Comments** field.

3. Select **Save and Return** Save And Return to save your work and return to the **Final Report List** page.

The status of the report should now change to **Submitted to RAO**. The Final Report has now been certified and is now locked. Your RAO will be notified by email that the Final Report is now ready for their review.

5.6. RAO Certification of Final Reports

IMPORTANT NOTE

This section is only relevant to Research Administration Officers (RAOs).

Once the information provided by the CIA has been reviewed, navigate to the relevant scientific report. For further information refer to section 5.1 on Accessing a Final Report then follow the steps below:

1. Select the **Institution Admin** tab at the top of the page then click the dropdown ▾ icon.

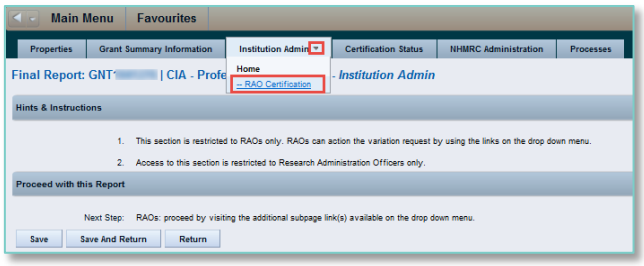

Main Menu
Favourites
Properties
Grant Summary Information
Institution Admin
Certification Status
NHMRC Administration
Processes
Home
- RAO Certification
- Institution Admin
Hints & Instructions
1. This section is restricted to RAOs only. RAOs can action the variation request by using the links on the drop down menu.
2. Access to this section is restricted to Research Administration Officers only.
Proceed with this Report
Next Step: RAOs: proceed by visiting the additional subpage link(s) available on the drop down menu.
Save
Save And Return
Return

Figure 97 - Accessing the Institution Admin Dropdown

2. From the dropdown menu ▾ on the **Institution Admin Tab** select the **RAO Certification** link.
3. Enter Certify RAO Comments if necessary, select either **Approve** or **Reject** from the dropdown selections. If **Reject** is selected, the fields are unlocked for the CIA to edit and the CIA is notified. Selecting **Approve** will lock the Certify RAO Comments field and the report is submitted to NHMRC when **Save and Return** is selected.
4. Select **Save and Return** Save And Return to save the work and return to the **Final Report List**.

The Report status becomes **Submitted to NHMRC** and all data fields are locked .

Rejecting the report causes RGMS to generate an email to the CIA giving notice of the rejection and instructing the CIA to login to RGMS to edit the report. At the same time the report status changes to **Clarification Requested** and all data fields are unlocked.

6. Progress Reporting

From 1 April 2015, Progress Reports, as required under the Funding Agreement, are made in the form of an annual CV update in RGMS and grantee variation applications. There is no longer an obligation to complete a form for annual or mid-term progress reports. The 'Progress Reports' page contains a history of progress reports created in the format required prior to 1 April 2015.

6.1. Accessing the Progress Reports Page

1. From the RGMS home page, select the **Main Menu** tab.
2. Select the **Progress Reports** link.

Figure 98 - Accessing the Progress Reports Page

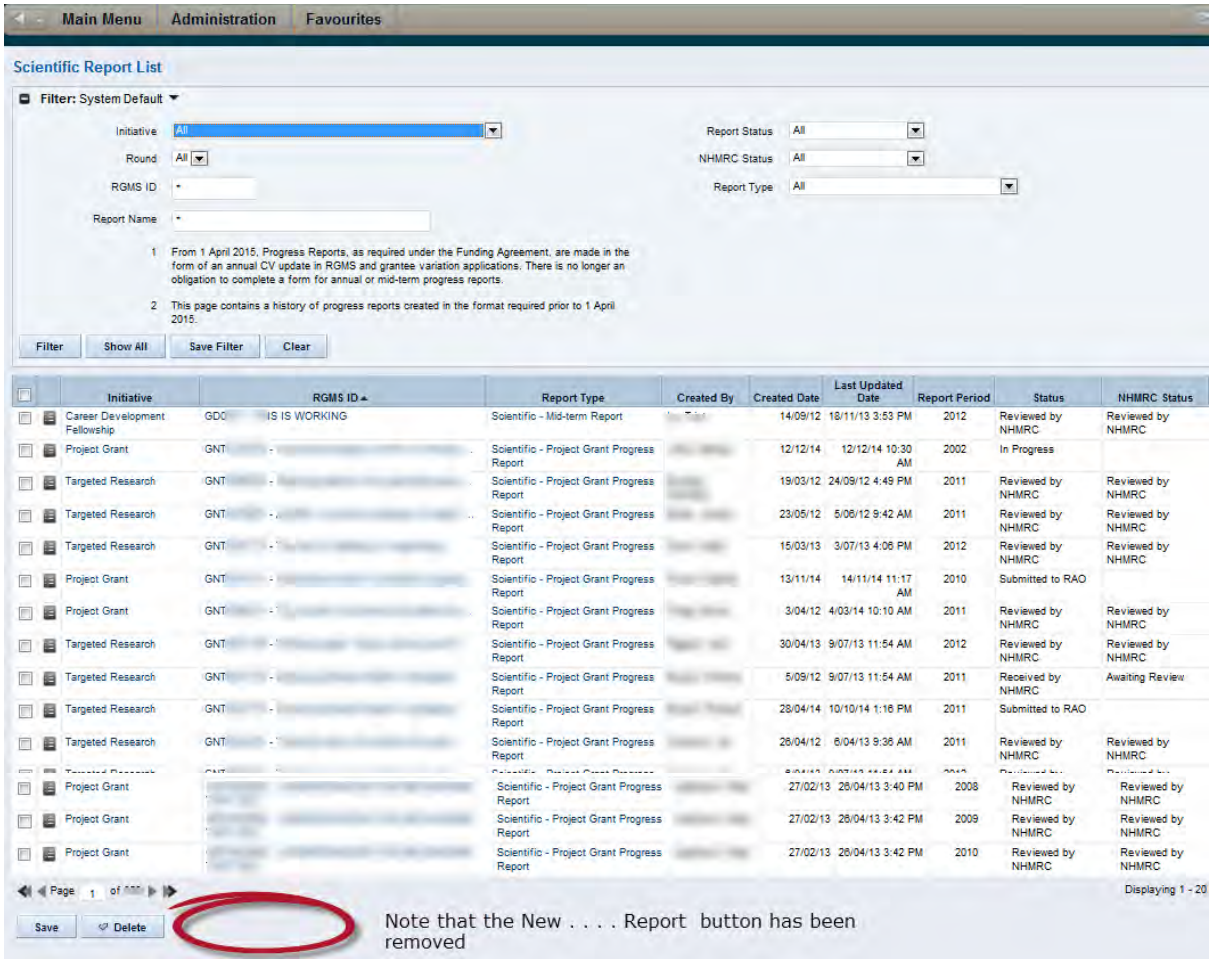

Main Menu
Administration
Favourites
Scientific Report List
Filter: System Default
Initiative
Round
RGMS ID
Report Name
Report Status
NHMRC Status
Report Type
1 From 1 April 2015, Progress Reports, as required under the Funding Agreement, are made in the form of an annual CV update in RGMS and grantee variation applications. There is no longer an obligation to complete a form for annual or mid-term progress reports.
2 This page contains a history of progress reports created in the format required prior to 1 April 2015.
Filter
Show All
Save Filter
Clear
Initiative
RGMS ID
Report Type
Created By
Created Date
Last Updated Date
Report Period
Status
NHMRC Status
Career Development Fellowship
Project Grant
Targeted Research
Scientific - Mid-term Report
Scientific - Project Grant Progress Report
Save
Delete
Note that the New . . . . Report button has been removed

Figure 99 - Scientific Reports List Page

3. To open a Scientific Report, select the hyperlink in either the **RGMS ID** or **Report Type** column.

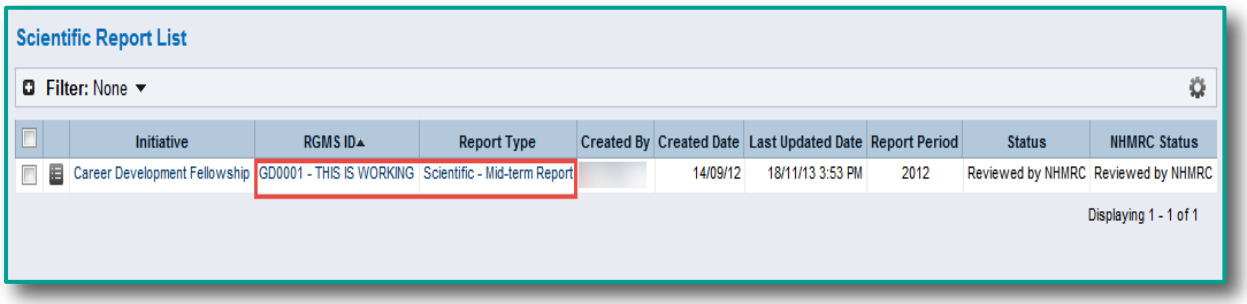


Figure 100 - Opening a Scientific Report

If there are multiple reports on this page you can narrow the results by using the Filters. For further information on how to apply, clear, save and manage Filters refer to section 3.5 Filtering in the RGMS User Guide – Introduction to RGMS (Research Community).

3. On the **Properties** tab for the Scientific Report is a dropdown menu. This menu is used to access **Progress Against Research Aims** and **Certify and Submit** links.

Figure 101 - Scientific Reporting Properties Dropdown Menu

7. Grant Variations

When there is a need to change the original awarded funding proposal, a **Grant Variation** must be submitted. NHMRC has created a range of Grant Variation options within RGMS to assist the Chief Investigator (CIA) in submitting the required information.

The generic process for a CIA to submit a variation can be found inFigure102.

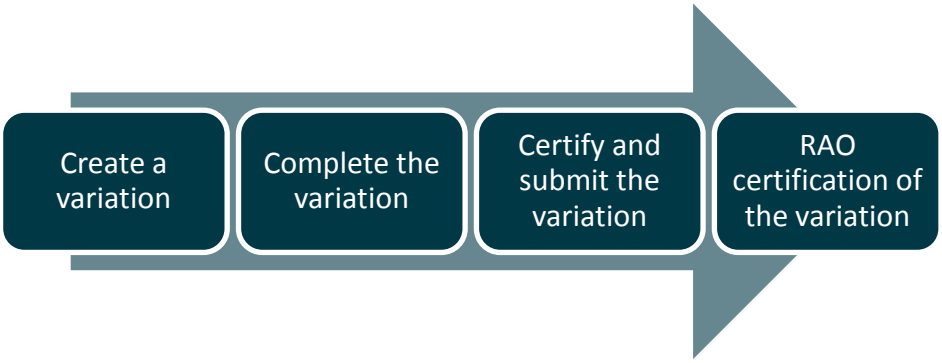


Figure 102 - Reporting Period Dropdown Menu Example

The following sections describe how to access, create, modify and submit a grant variation.

7.1. Accessing the Grant Variation Page

The first step for Grant Variations is to access the **Variation Request portlet** page. The steps below show you how to access the page.

1. From the RGMS Home page, select the **Grantees** tab.

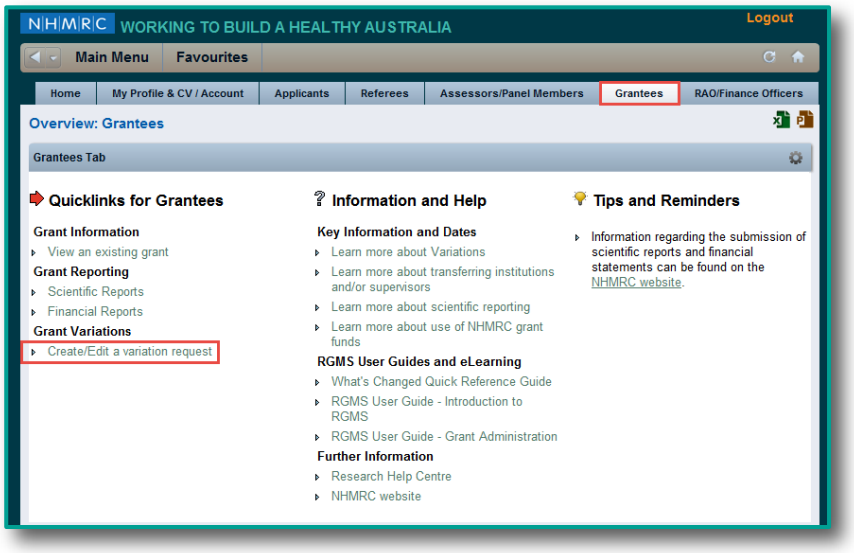
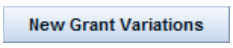


Figure 103 - Accessing the Grantees Page

2. Select the Create/Edit a variation request quicklink.

7.2. Creating a Grantee Variation

To begin the Grant Variation grant variation process you need to create a variation. This section outlines how to create and seek approval for a variation. The sections that follow this one then outline how to submit specific variation request.

1. Navigate to the **Grantee Variation page**, as per previous step **7.1**.
2. Select the **New Grant Variations**  button at bottom of page.

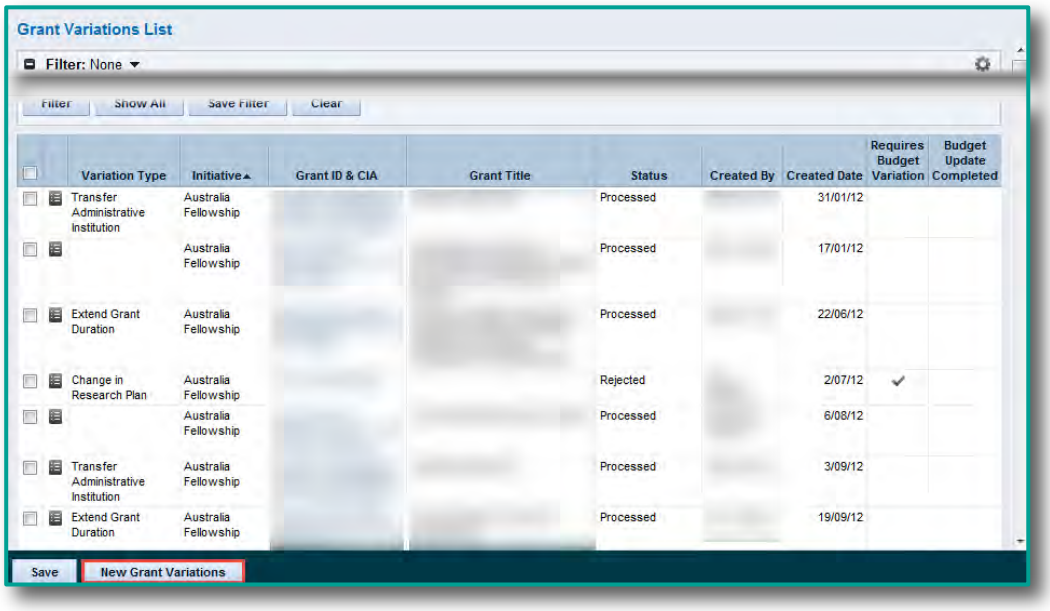


Figure 104 - Reporting Period Dropdown Menu Example

3. Enter the **Grant ID** directly into the field or alternatively, Use the **Grant ID** lookup field by selecting the binoculars icon to find the relevant grant. Select **Add** Add when you have selected the relevant grant.

   For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

4. Enter a brief description identifying the variation request in the **Variation Description** field.
5. Enter the **Variation Type** by typing directly in the field.
   a. Or, alternatively, select the binoculars icon beside the **Variation Type** lookup field to open a new window with a list of Grant Variation types. Select the relevant variation type and select the **Add** Add button.

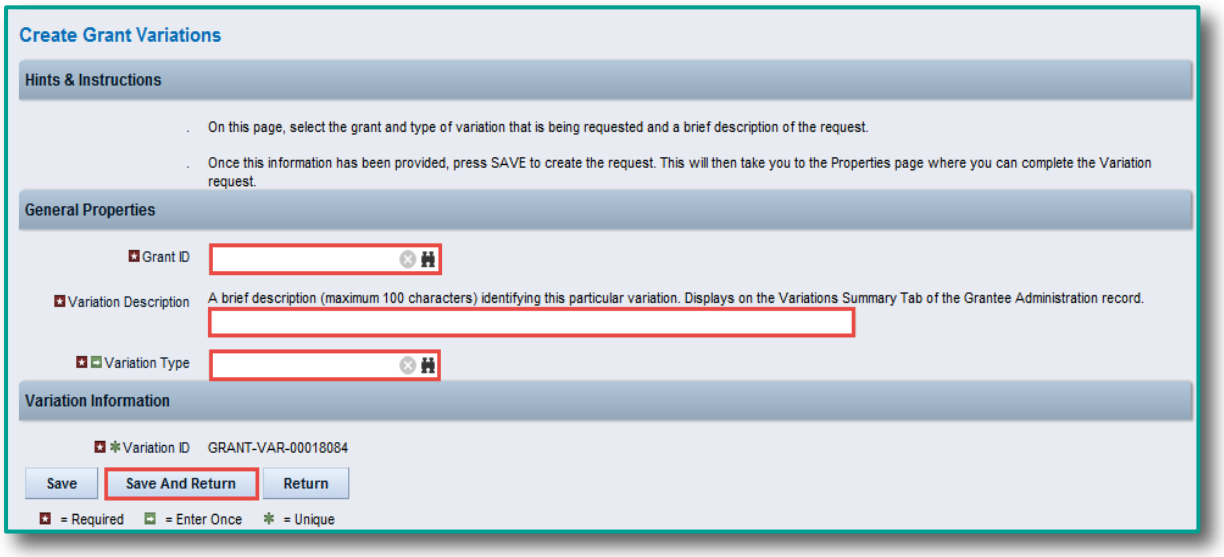
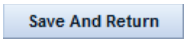

Create Grant Variations
Hints & Instructions
On this page, select the grant and type of variation that is being requested and a brief description of the request.
Once this information has been provided, press SAVE to create the request. This will then take you to the Properties page where you can complete the Variation request.
General Properties
Grant ID
Variation Description
A brief description (maximum 100 characters) identifying this particular variation. Displays on the Variations Summary Tab of the Grantee Administration record.
Variation Type
Variation Information
Variation ID
GRANT-VAR-00018084
Save
Save And Return
Return
= Required
= Enter Once
= Unique

Figure 105 - Creating a Grant Variation

Refer to section **6.3 Types of Variations** for a list of the variation types.

6. Select **Save** to save your data and remain on the page. Additional grant details (the *Initiative, Grant ID, Created By,* and *Created Date* fields) will be retrieved and will be updated against the variation automatically upon refreshing the browser by pressing the **Refresh** icon .
    a. Alternatively, select **Save and Return**  to complete the process and return you to the **Grantee Variation List**.

For more information about the differences between **Save and, Save and Return** refer to section 3.9 Save, Save and Return and Return in the RGMS User Guide – Introduction to RGMS (Research Community).

This creates a Grantee Variation request with a status of **In Progress** and will be displayed on the **Grant Variations Properties** page.

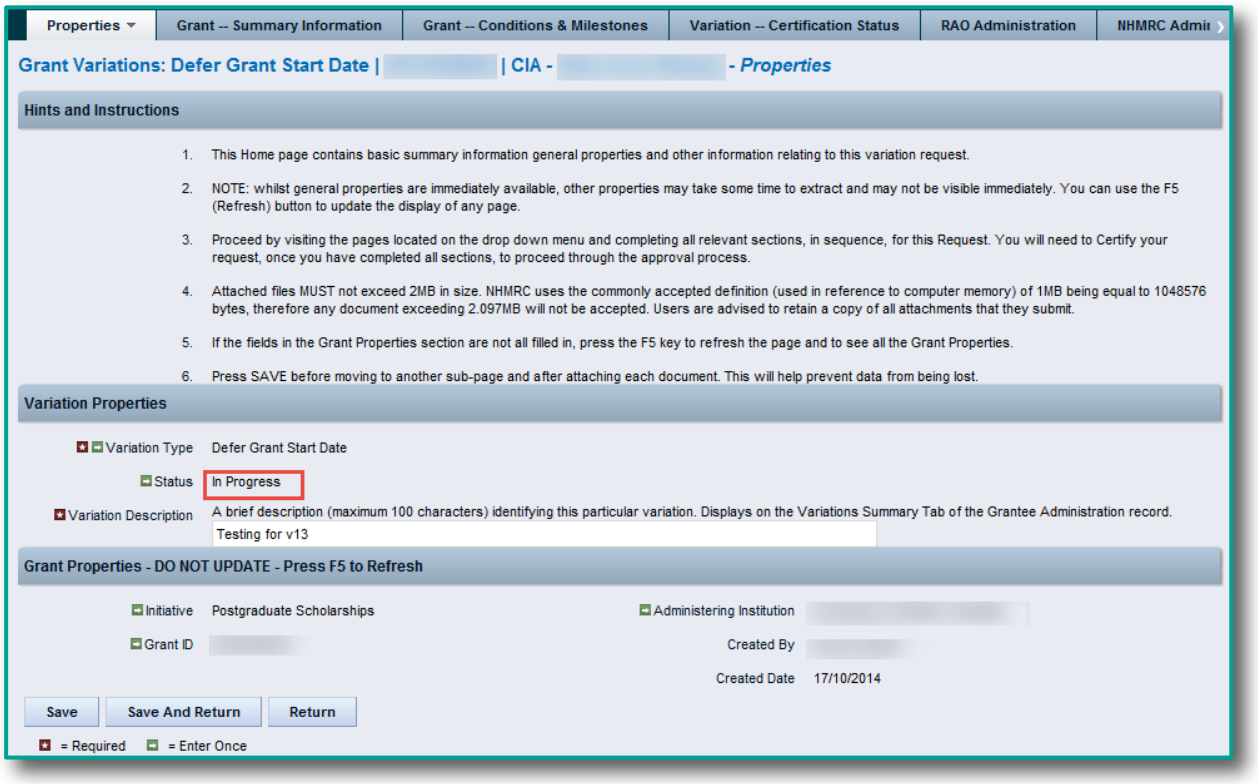

Properties
Grant -- Summary Information
Grant -- Conditions & Milestones
Variation -- Certification Status
RAO Administration
NHMRC Admi
Grant Variations: Defer Grant Start Date | | CIA - - Properties
Hints and Instructions
1. This Home page contains basic summary information general properties and other information relating to this variation request.
2. NOTE: whilst general properties are immediately available, other properties may take some time to extract and may not be visible immediately. You can use the F5 (Refresh) button to update the display of any page.
3. Proceed by visiting the pages located on the drop down menu and completing all relevant sections, in sequence, for this Request. You will need to Certify your request, once you have completed all sections, to proceed through the approval process.
4. Attached files MUST not exceed 2MB in size. NHMRC uses the commonly accepted definition (used in reference to computer memory) of 1MB being equal to 1048576 bytes, therefore any document exceeding 2.097MB will not be accepted. Users are advised to retain a copy of all attachments that they submit.
5. If the fields in the Grant Properties section are not all filled in, press the F5 key to refresh the page and to see all the Grant Properties.
6. Press SAVE before moving to another sub-page and after attaching each document. This will help prevent data from being lost.
Variation Properties
Variation Type
Defer Grant Start Date
Status
In Progress
Variation Description
A brief description (maximum 100 characters) identifying this particular variation. Displays on the Variations Summary Tab of the Grantee Administration record.
Testing for v13
Grant Properties - DO NOT UPDATE - Press F5 to Refresh
Initiative
Postgraduate Scholarships
Administering Institution
Grant ID
Created By
Created Date
17/10/2014
Save
Save And Return
Return
= Required
= Enter Once

Figure 106 - Reporting Period Dropdown Menu Example

7.3. Types of Variations

Variations requests fall into three broad categories: *team, time* and *other*. The types of specific variations are listed below:

- **Team Variations**
  - Add new Non-CI Team Member
  - Remove Non-CI Team Member
  - Modify Non-CI Team Member
  - Add a Chief Investigator
  - Remove Chief Investigator
  - Update CI Team Membership and Structure
  - Re-Assign CI Roles
  - Confirm CI Allocations
  - Extended Leave Request

- **Timing Variations**
  - Defer Grant Start Date
  - Defer In-Progress Grant
  - Extend Grant Duration

- **Other Variations**
  - Change in Research Plan
  - Relinquish Grant
  - Transfer Administrative Institution
  - Change of Supervisor

7.4. Accessing a Grant Variation

Accessing a new Grant Variation request may be required if the variation request form was not completed, or if you are reviewing a past variation.

1. Navigate to the **Grantees** tab, for further information refer to section **7.1 Accessing the Grant Variation** Page.
2. Select the **Create/Edit a variation request** quicklink.

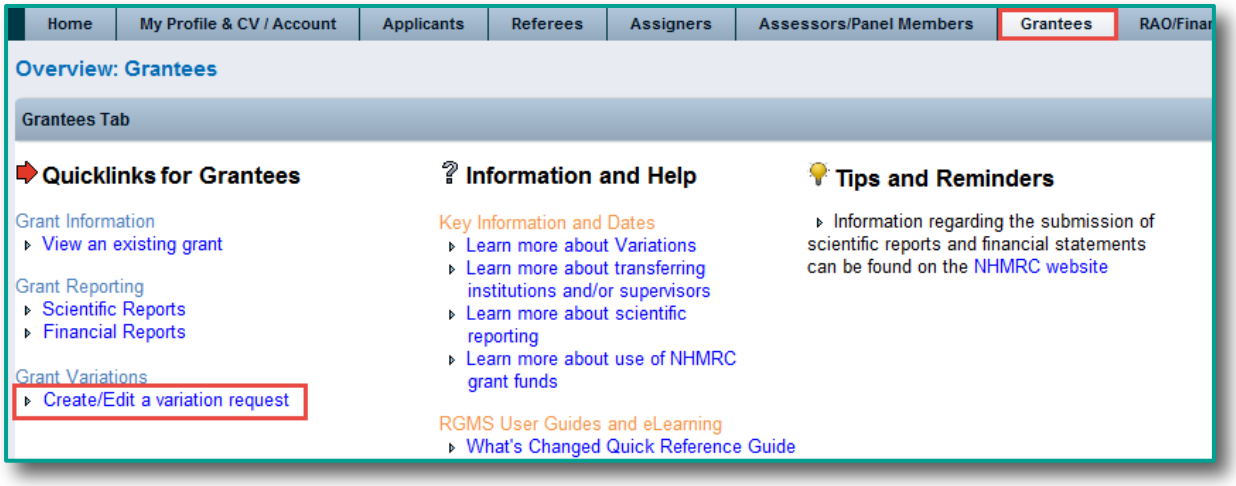


Figure 107 - Reporting Period Dropdown Menu Example

3. Use the Filters at the top of the page to narrow the listed results to the relevant grant.

   For more information on lookup fields refer to section 3.8 Lookup in the RGMS User Guide – Introduction to RGMS (Research Community).

4. Open the relevant variation request by selecting the **Grant ID & CIA** hyperlink.

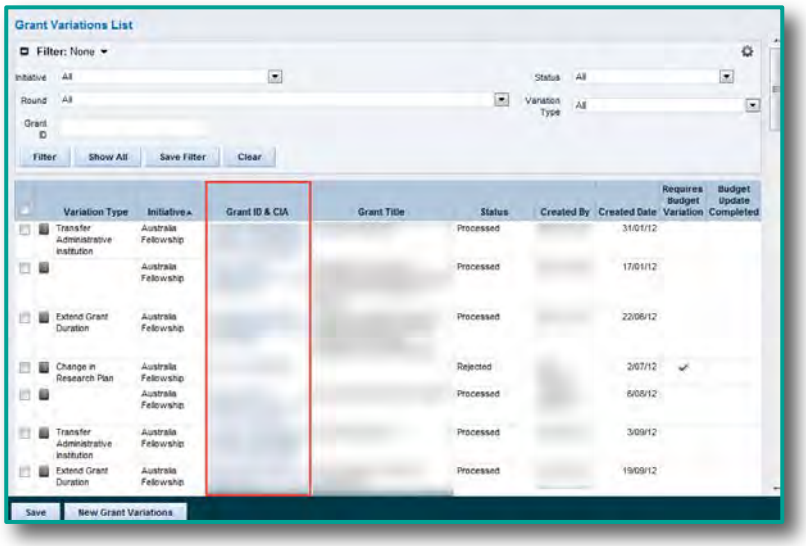


Figure 108 - Reporting Period Dropdown Menu Example

From this view you are able to view the grant and variation request details. The tabs at the top provide access to the following information and functionality:

- **Grant – Summary Information** – Provides access to a brief overview of the grant details.
- **Grant – Conditions and Milestones** – Provides a summary of the relevant dates applied to the grant.
- **Variation – Certification Status** – This page provides an overview of the progress of the variation request.
- **RAO Administration** – This is the page used by RAOs to approve and certify this variation. For further information refer to section **7.8 RAO Certification of Grant Variations**.
- **NHMRC Administration** – This page is used by NHMRC staff to complete the NHMRC administrative functions for this variation request.
- **Processes** – This tab is not utilised and should be disregarded.

7.5. Modifying a Variation

When a variation request has been created, the details for the variation request need to be entered into the newly created record and submitted.

1. Navigate to the **Grantees Variation** tab, for further information refer to section **7.1 Accessing the Grant Variation** Page.
2. Open the relevant variation by selecting the **Grant ID & CIA** hyperlink
3. Select the name of the variation link in the **Properties** ▾ dropdown menu.

Figures below use the **Change of Supervisor** variation type as an example.

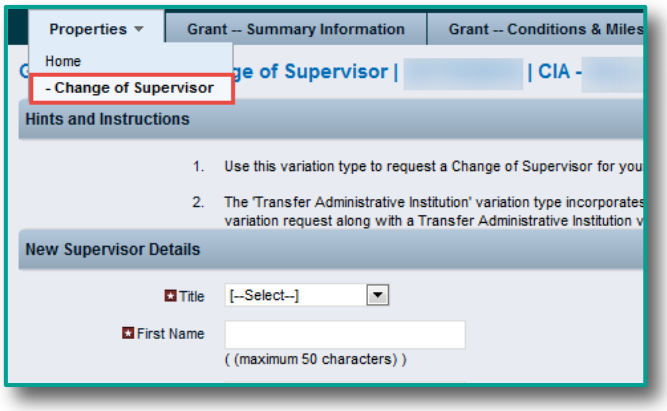

Properties
Grant -- Summary Information
Grant -- Conditions & Miles
Home
- Change of Supervisor
ge of Supervisor |
| CIA -
Hints and Instructions
1. Use this variation type to request a Change of Supervisor for you
2. The 'Transfer Administrative Institution' variation type incorporates
variation request along with a Transfer Administrative Institution v
New Supervisor Details
Title
[--Select--]
First Name
((maximum 50 characters))

Figure 109 - Reporting Period Dropdown Menu Example

4. This will display the page required to enter the details for the variation type selected. Populate the fields as required.

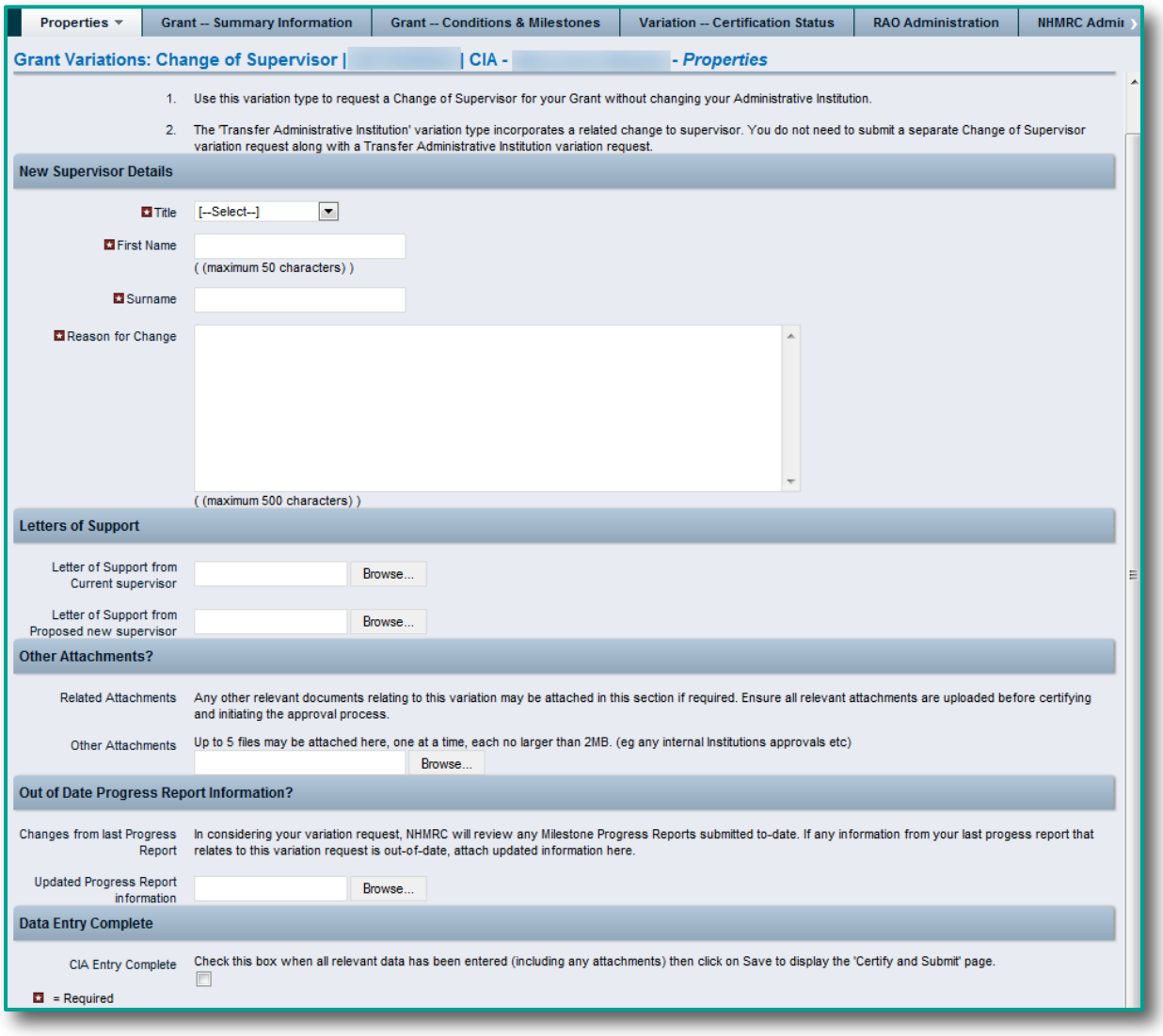

Properties
Grant -- Summary Information
Grant -- Conditions & Milestones
Variation -- Certification Status
RAO Administration
NHMRC Admi
Grant Variations: Change of Supervisor | | CIA - - Properties
1. Use this variation type to request a Change of Supervisor for your Grant without changing your Administrative Institution.
2. The 'Transfer Administrative Institution' variation type incorporates a related change to supervisor. You do not need to submit a separate Change of Supervisor variation request along with a Transfer Administrative Institution variation request.
New Supervisor Details
Title
--Select--
First Name
((maximum 50 characters))
Surname
Reason for Change
((maximum 500 characters))
Letters of Support
Letter of Support from Current supervisor
Browse...
Letter of Support from Proposed new supervisor
Browse...
Other Attachments?
Related Attachments
Any other relevant documents relating to this variation may be attached in this section if required. Ensure all relevant attachments are uploaded before certifying and initiating the approval process.
Other Attachments
Up to 5 files may be attached here, one at a time, each no larger than 2MB. (eg any internal Institutions approvals etc)
Browse...
Out of Date Progress Report Information?
Changes from last Progress Report
In considering your variation request, NHMRC will review any Milestone Progress Reports submitted to-date. If any information from your last progess report that relates to this variation request is out-of-date, attach updated information here.
Updated Progress Report information
Browse...
Data Entry Complete
CIA Entry Complete
Check this box when all relevant data has been entered (including any attachments) then click on Save to display the 'Certify and Submit' page.
= Required

Figure 110 - Reporting Period Dropdown Menu Example

5. When all relevant data has been entered (including any attachments), select the **CIA Entry Complete** check box.

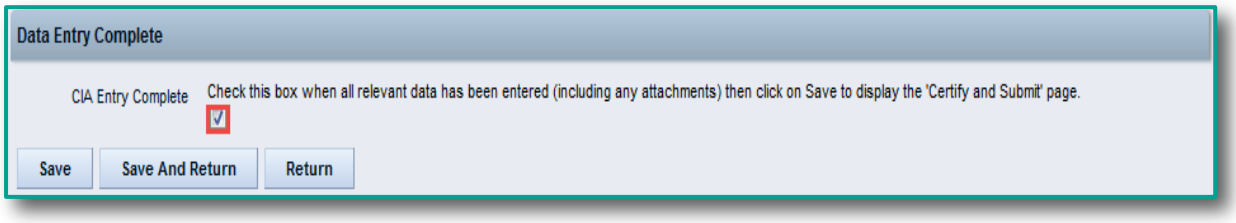

Data Entry Complete
CIA Entry Complete
Check this box when all relevant data has been entered (including any attachments) then click on Save to display the 'Certify and Submit' page.
Save
Save And Return
Return

Figure 111 - Reporting Period Dropdown Menu Example

6. Select **Save** Save to save your work or **Save and Return** Save And Return to complete the process and return you to the **Grantee Variation List**.
7. A **Certify & Submit** link will now appear in the **Properties** dropdown ▾ menu.

7.6. Certify and Submit a Variation

When all the details have been entered against the variation request, it needs to be certified and submitted.

1. Navigate to the **Grantees Variation** page, for further information refer to section **7.1 Accessing the Grant Variation** Page.
2. **Create** a new variation request or modify the variation request, for further information refer to section **7.5 Modifying a Grant Variation.**
3. Select the **Certify & Submit** link in the **Properties** dropdown ▾ menu.

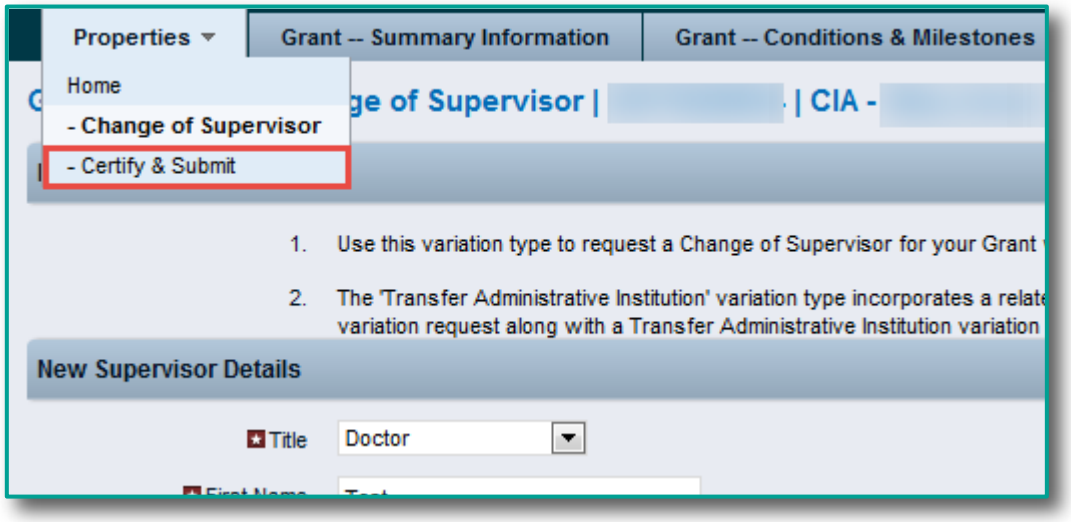

Properties
Grant -- Summary Information
Grant -- Conditions & Milestones
Home
- Change of Supervisor
- Certify & Submit
ge of Supervisor |
| CIA -
1. Use this variation type to request a Change of Supervisor for your Grant
2. The 'Transfer Administrative Institution' variation type incorporates a relate
variation request along with a Transfer Administrative Institution variation
New Supervisor Details
Title
Doctor

Figure 112 - Reporting Period Dropdown Menu Example

4. If required, provide a comment in the **Certify CIA Comment for RAO** field.
5. Select **Yes** from the **Certify CIA** dropdown ▾ field.
6. Click on **Save and Return** Save And Return to save your work and return to the **Grantee Variations List** page where the status of the variation has now changed to **Submitted to RAO**.

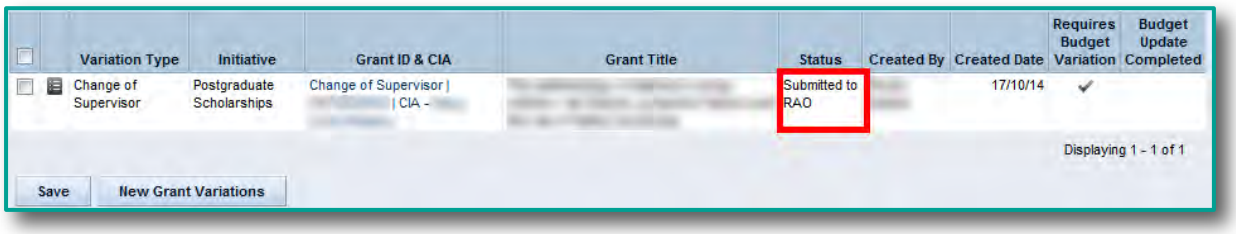


Figure 113 - Grant Variation List: Submitted to RAO example

The variation request is then submitted to the RAO for final approval before being submitted for consideration by NHMRC.

7.7. Cancelling a Variation

If a created variation needs to cancelled, then the CIA can complete the following steps.

1. Navigate to the **Grantees Variation** tab, for further information refer to section **7.1 Accessing the Grant Variation** Page.
2. Open the relevant variation by selecting the **Grant ID & CIA** hyperlink.
3. Select **Yes** from the **Cancel Variation** dropdown ▾ field.

Figure 114 – Cancelling a variation

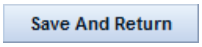
4. Click on **Save and Return**  to save your work and return to the **Grantee Variations List** page where the status of the variation has now changed to **Cancelled**.

Figure 115 – Grant Variation List: Cancelled example

Once cancelled by the CIA, all fields are locked and no further changes can be made to the variation request.

IMPORTANT NOTE

Variation requests can only be cancelled by the CIA prior to CIA certification.

7.8. RAO Certification of Grant Variations

IMPORTANT NOTE

This section is only relevant to Research Administration Officers (RAOs).

The following instructions outline the RAOs steps for reviewing a variation request, making a decision to approve or cancel the request, and for certifying that decision against a variation in RGMS.

1. Navigate to the Grantee Variation page, for further information refer to section **7.1 Accessing the Grant Variation** Page
2. Review the variation details.
3. Select the **RAO Administration** tab.

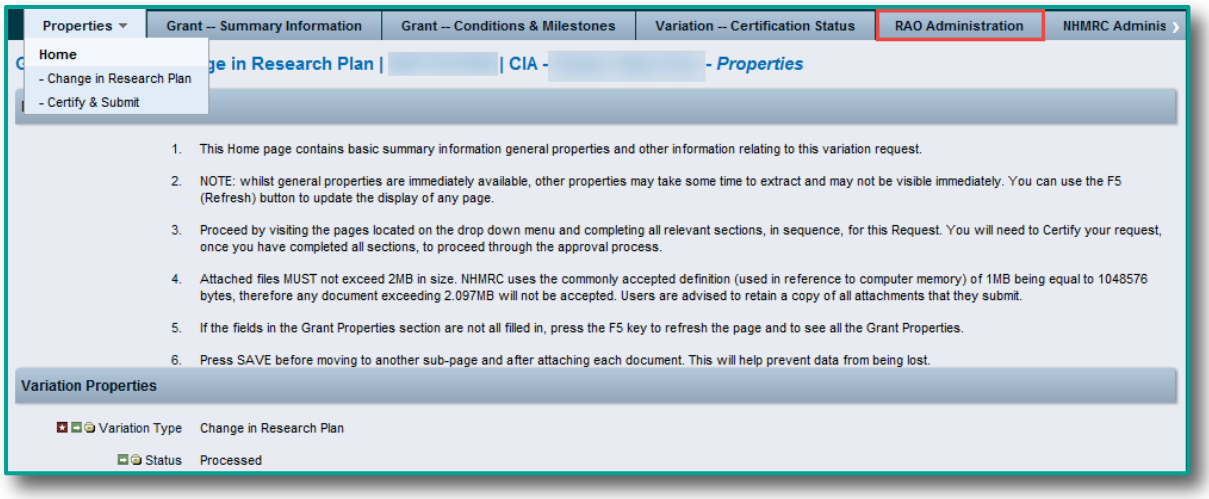

Properties
Grant -- Summary Information
Grant -- Conditions & Milestones
Variation -- Certification Status
RAO Administration
NHMRC Adminis
Home
- Change in Research Plan
- Certify & Submit
ge in Research Plan |
| CIA -
- Properties
1. This Home page contains basic summary information general properties and other information relating to this variation request.
2. NOTE: whilst general properties are immediately available, other properties may take some time to extract and may not be visible immediately. You can use the F5 (Refresh) button to update the display of any page.
3. Proceed by visiting the pages located on the drop down menu and completing all relevant sections, in sequence, for this Request. You will need to Certify your request, once you have completed all sections, to proceed through the approval process.
4. Attached files MUST not exceed 2MB in size. NHMRC uses the commonly accepted definition (used in reference to computer memory) of 1MB being equal to 1048576 bytes, therefore any document exceeding 2.097MB will not be accepted. Users are advised to retain a copy of all attachments that they submit.
5. If the fields in the Grant Properties section are not all filled in, press the F5 key to refresh the page and to see all the Grant Properties.
6. Press SAVE before moving to another sub-page and after attaching each document. This will help prevent data from being lost.
Variation Properties
Variation Type
Change in Research Plan
Status
Processed

Figure 116 - Accessing the RAO Administration Tab

4. Depending on the type of variation, there will be links to pages that will need to be completed which can be found under the **Properties** dropdown ▾ menu. When these pages have been completed, select the **RAO Administration** tab and then the **RAO Certification** link.

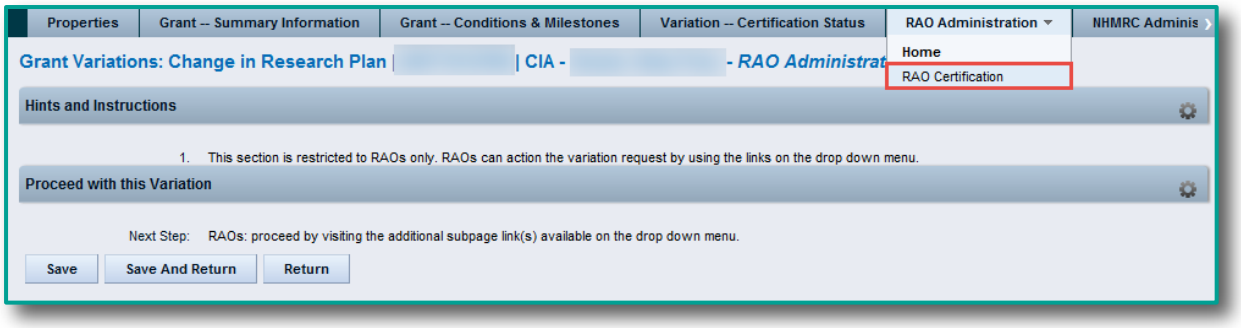

Properties
Grant -- Summary Information
Grant -- Conditions & Milestones
Variation -- Certification Status
RAO Administration
NHMRC Adminis
Home
RAO Certification
Grant Variations: Change in Research Plan
CIA -
- RAO Administrat
Hints and Instructions
1. This section is restricted to RAOs only. RAOs can action the variation request by using the links on the drop down menu.
Proceed with this Variation
Next Step: RAOs: proceed by visiting the additional subpage link(s) available on the drop down menu.
Save
Save And Return
Return

Figure 117 - Reporting Period Dropdown Menu Example

5. If required, complete information in all mandatory fields. Use the **RAO Decision tab** dropdown menu to select **Approved or Cancelled**.

6. In the **RAO Attachments** section, add any required information in the space provided for free text.

7. Select **Browse** Browse... to add any documents you wish to attach in the **RAO Attachment Items** field (up to five files can be added).

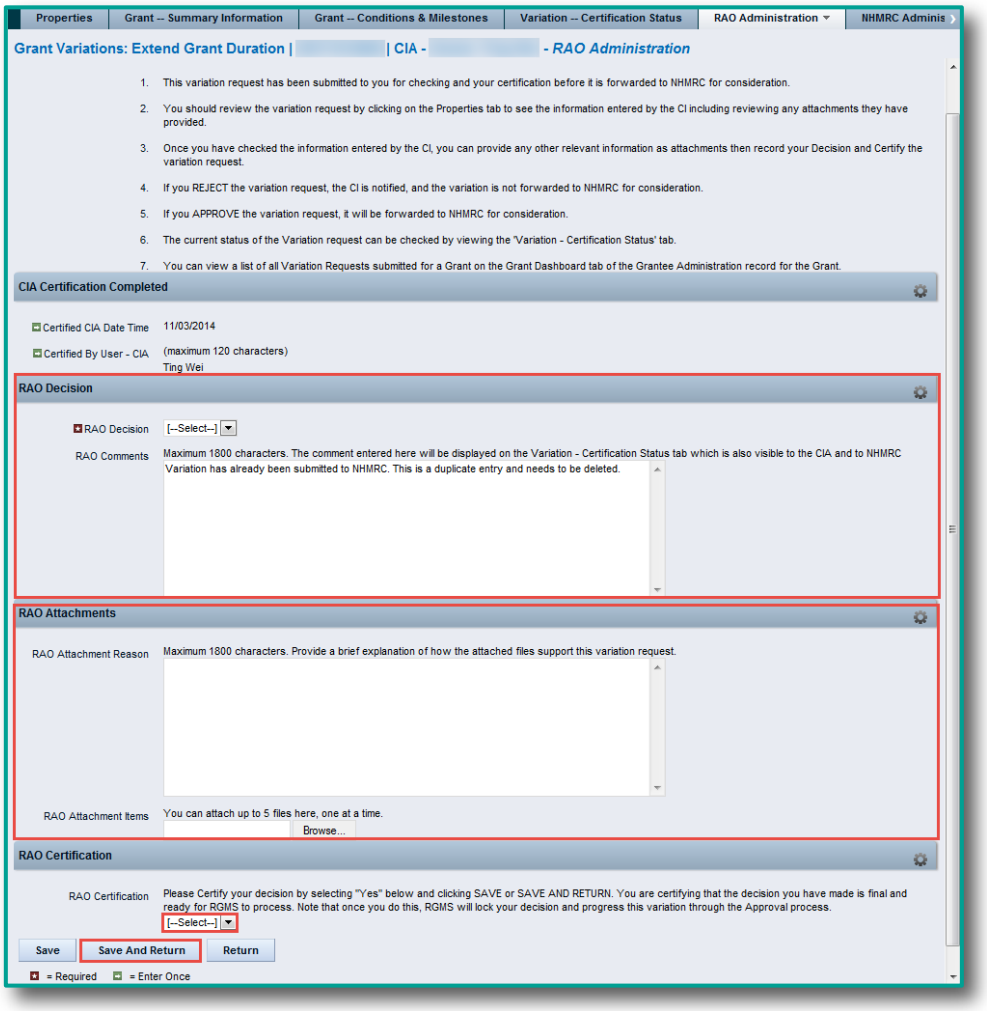

Properties
Grant -- Summary Information
Grant -- Conditions & Milestones
Variation -- Certification Status
RAO Administration
NHMRC Adminis
Grant Variations: Extend Grant Duration | | CIA - - RAO Administration
1. This variation request has been submitted to you for checking and your certification before it is forwarded to NHMRC for consideration.
2. You should review the variation request by clicking on the Properties tab to see the information entered by the CI including reviewing any attachments they have provided.
3. Once you have checked the information entered by the CI, you can provide any other relevant information as attachments then record your Decision and Certify the variation request.
4. If you REJECT the variation request, the CI is notified, and the variation is not forwarded to NHMRC for consideration.
5. If you APPROVE the variation request, it will be forwarded to NHMRC for consideration.
6. The current status of the Variation request can be checked by viewing the 'Variation - Certification Status' tab.
7. You can view a list of all Variation Requests submitted for a Grant on the Grant Dashboard tab of the Grantee Administration record for the Grant.
CIA Certification Completed
Certified CIA Date Time
11/03/2014
Certified By User - CIA
(maximum 120 characters)
Ting Wei
RAO Decision
RAO Decision
--Select--
RAO Comments
Maximum 1800 characters. The comment entered here will be displayed on the Variation - Certification Status tab which is also visible to the CIA and to NHMRC
Variation has already been submitted to NHMRC. This is a duplicate entry and needs to be deleted.
RAO Attachments
RAO Attachment Reason
Maximum 1800 characters. Provide a brief explanation of how the attached files support this variation request.
RAO Attachment Items
You can attach up to 5 files here, one at a time.
Browse...
RAO Certification
RAO Certification
Please Certify your decision by selecting "Yes" below and clicking SAVE or SAVE AND RETURN. You are certifying that the decision you have made is final and ready for RGMS to process. Note that once you do this, RGMS will lock your decision and progress this variation through the Approval process.
--Select--
Save
Save And Return
Return
= Required
= Enter Once

Figure 118 -Reporting Period Dropdown Field Example

8. From the **RAO Certification** dropdown field, select **Yes** or **Cancel**

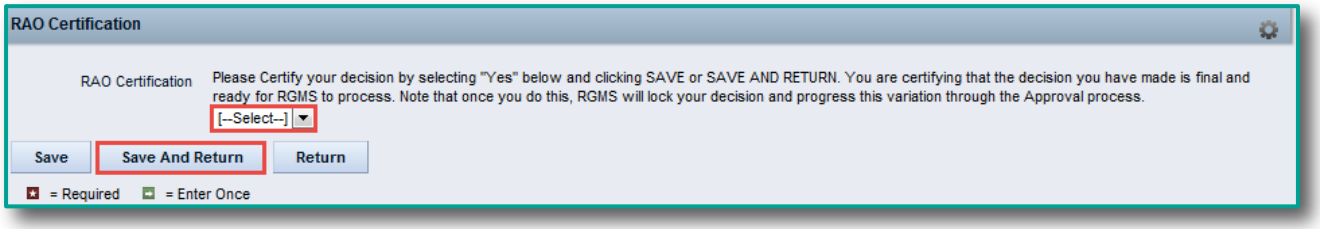
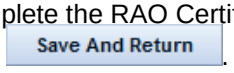

RAO Certification
RAO Certification
Please Certify your decision by selecting "Yes" below and clicking SAVE or SAVE AND RETURN. You are certifying that the decision you have made is final and ready for RGMS to process. Note that once you do this, RGMS will lock your decision and progress this variation through the Approval process.
--Select--
Save
Save And Return
Return
= Required
= Enter Once

Figure 119 - Reporting Period Dropdown Menu Example

9. To complete the RAO Certification of the Variation and notify NHMRC, select **Save and Return** 

.

Once submitted by the RAO, the status of the variation request in RGMS changes to **Submitted to NHMRC**. All fields are locked and no further changes can be made to the variation request.

7.9. RAO Rejection of Grant Variations

IMPORTANT NOTE

This section is only relevant to Research Administration Officers (RAOs).

The following instructions outline the RAO steps for rejecting a variation request, which will return the variation to the CIA and unlock the variation for action.

1. Navigate to the Grantee Variation page, for further information refer to section **7.1 Accessing the Grant Variation** Page
2. Review the variation details.
3. Select the **RAO Administration** tab.
4. Select the **Reject Variation** link in the Properties dropdown ▾ menu.

Properties
Grant -- Summary Information
Grant -- Conditions & Milestones
Variation -- Certification Status
RAO Administration
NHMRC Administration
Processes
Home
RAO Certification
Reject Variation
Grant Variations:
Hints and Instructions
1. This section is restricted to RAOs only. RAOs can action the variation request by using the links on the drop down menu.
Proceed with this Variation
Next Step: RAOs: proceed by visiting the additional subpage link(s) available on the drop down menu.
Save
Save And Return
Return

Figure 120 - Accessing the Reject Variation Page from the RAO Administration Tab

5. If required, provide a comment in the **RAO Comments** field.
6. Select **Yes** from the **Reject** dropdown ▾ field.

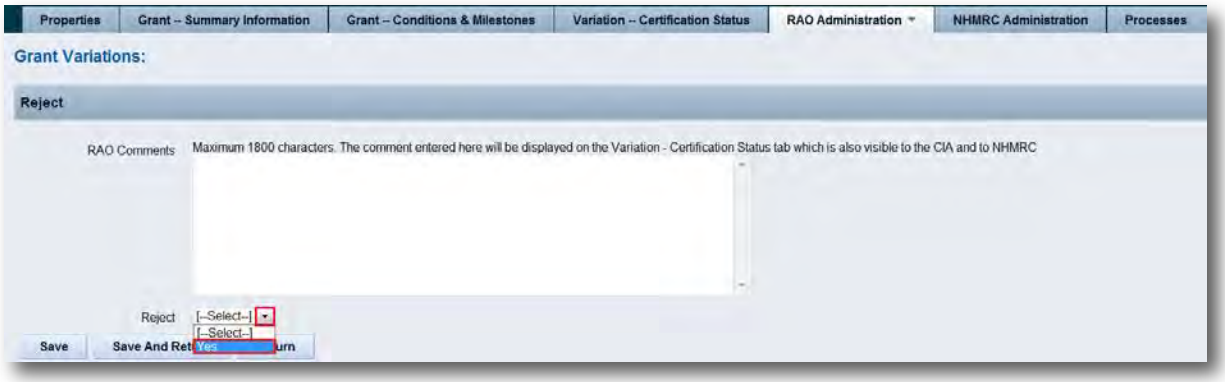


Figure 121 - Accessing the Reject Variation Page from the RAO Administration Tab

5. Click on **Save and Return** Save And Return to save your work and return to the **Grantee Variations List** page where the status of the variation has now changed to **In Progress**.

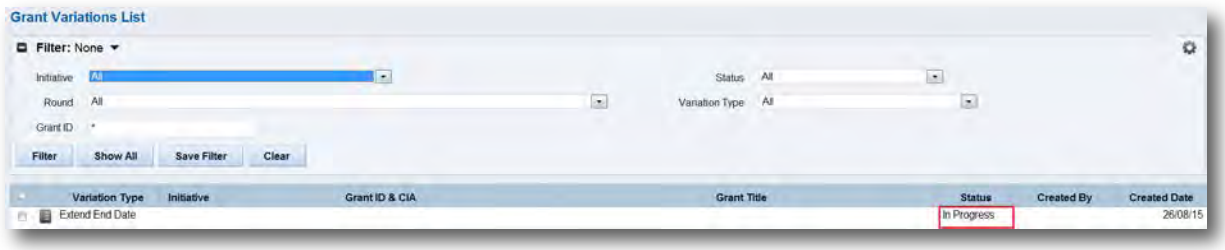


Figure 122 - Grant Variation List: Variation rejected by RAO and back to In Progress

Once rejected by the RAO, all fields are unlocked to allow the CIA to make any necessary changes.

Page left intentionally blank.

GPO Box 1421 | Canberra ACT 2601
16 Marcus Clarke Street, Canberra City ACT 2600

T. 13 000 NHMRC (13 000 64672) or +61 2 6217 9000
F. +61 2 6217 9100
E. nhmrc@nhmrc.gov.au

www.nhmrc.gov.au

WORKING TO BUILD A HEALTHY AUSTRALIA